

Message

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**From:** Blake, Wendy [blake.wendy@epa.gov]  
**Sent:** 9/5/2019 1:19:21 PM  
**To:** Le, Kathryn [le.kathryn@epa.gov]; Thompson, BrianK [Thompson.BrianK@epa.gov]; Updike, David [Updike.David@epa.gov]; Wells, Jeffrey [Wells.jeffrey@epa.gov]; +1 (202) 564-1821 [+1 (202) 564-1821@epa.gov]; Blake, Wendy [Blake.Wendy@epa.gov]; +1 (202) 564-7701 [+1 (202) 564-7701@epa.gov]; +1 (202) 578-5903 [+1 (202) 578-5903@epa.gov]; +1 (919) 257-5800 [+1 (919) 257-5800@epa.gov]; Epley, Brian [epley.brian@epa.gov]  
**Subject:** Day Forward Capstone Approach for EPA

## Day Forward Capstone Approach for EPA

Duration: 15 Minutes 01 Seconds

### +1 (202) 564-7701

Other: [+1 \(202\) 564-7701](#)

### **epley.brian@epa.gov**

OMS

Work: [2025660300](#)

Email: [epley.brian@epa.gov](mailto:epley.brian@epa.gov)

IM: [epley.brian@epa.gov](#)

### +1 (202) 564-1821

Other: [+1 \(202\) 564-1821](#)

### **thompson.briank@epa.gov**

ATTORNEY-ADVISER , OMS

Email: [thompson.briank@epa.gov](mailto:thompson.briank@epa.gov)

IM: [thompson.briank@epa.gov](#)

### **le.kathryn@epa.gov**

ATTORNEY-ADVISOR , OGC

Work: [202-564-7701](#)

Email: [le.kathryn@epa.gov](mailto:le.kathryn@epa.gov)

IM: [le.kathryn@epa.gov](#)

### +1 (202) 578-5903

Other: [+1 \(202\) 578-5903](#)

### +1 (919) 257-5800

Other: [+1 \(919\) 257-5800](#)

### **Wells, Jeffrey**

DEPUTY DIRECTOR , OMS

Email: [wells.jeffrey@epa.gov](mailto:wells.jeffrey@epa.gov)

IM: [wells.jeffrey@epa.gov](#)

### **updike.david@epa.gov**

SUPV. IT SPECIALIST , OMS

Work: [9195410780](#)

Mobile: [+1 \(919\) 270-7190](#)

Email: [updike.david@epa.gov](mailto:updike.david@epa.gov)

IM: [updike.david@epa.gov](#)



Skype for Business

Message

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**From:** Blake, Wendy [blake.wendy@epa.gov]  
**Sent:** 5/21/2018 2:09:08 PM  
**To:** +1 (786) 208-7136 [+1 (786) 208-7136@epa.gov]; Ellis, John [Ellis.john@epa.gov]; Jones-Parra, Lisa [Jones-Parra.Lisa@epa.gov]; Virgille, Joanne [Virgille.Joanne@epa.gov]; +1 (202) 564-1821 [+1 (202) 564-1821@epa.gov]; Blake, Wendy [Blake.Wendy@epa.gov]; +1 (202) 564-1915 [+1 (202) 564-1915@epa.gov]; +1 (202) 564-2691 [+1 (202) 564-2691@epa.gov]; +1 (202) 839-1639 [+1 (202) 839-1639@epa.gov]; +1 (202) 839-1889 [+1 (202) 839-1889@epa.gov]  
**Subject:** Capstone

## Message

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**From:** Blake, Wendy [blake.wendy@epa.gov]  
**Sent:** 9/10/2018 3:01:44 PM  
**To:** Blake, Wendy [Blake.Wendy@epa.gov]; +1 (202) 564-1821 [+1 (202) 564-1821@epa.gov]; +1 (202) 564-1915 [+1 (202) 564-1915@epa.gov]; +1 (202) 839-1889 [+1 (202) 839-1889@epa.gov]; Jones-Parra, Lisa [Jones-Parra.Lisa@epa.gov]; Stilp, Mark [Stilp.Mark@epa.gov]  
**Subject:** Capstone Meeting

### Capstone Meeting

Duration: 10 Seconds

#### **+1 (202) 839-1889**

Other: [+1 \(202\) 839-1889](#)

#### **+1 (202) 564-1821**

Other: [+1 \(202\) 564-1821](#)

#### **stilp.mark@epa.gov**

ATTORNEY-ADVISED, OGC

Work: [2025644845](#)

Email: [stilp.mark@epa.gov](mailto:stilp.mark@epa.gov)

IM: [stilp.mark@epa.gov](#)

#### **+1 (202) 564-1915**

Other: [+1 \(202\) 564-1915](#)

#### **jones-parra.lisa@epa.gov**

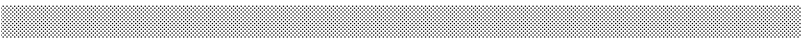
INFORMATION MANAGEMENT SPECIALIST, OEI

Work: [2025661157](#)

Work: [202-566-1157](#)

Email: [jones-parra.lisa@epa.gov](mailto:jones-parra.lisa@epa.gov)

IM: [jones-parra.lisa@epa.gov](#)



Skype for Business



Message

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**From:** Blake, Wendy [blake.wendy@epa.gov]  
**Sent:** 9/10/2018 3:04:57 PM  
**To:** Stilp, Mark [Stilp.Mark@epa.gov]; Thompson, BrianK [Thompson.BrianK@epa.gov]; Blake, Wendy [Blake.Wendy@epa.gov]; +1 (202) 564-1821 [+1 (202) 564-1821@epa.gov]; +1 (202) 564-1915 [+1 (202) 564-1915@epa.gov]; +1 (202) 564-4256 [+1 (202) 564-4256@epa.gov]; +1 (202) 839-1889 [+1 (202) 839-1889@epa.gov]; Jones-Parra, Lisa [Jones-Parra.Lisa@epa.gov]  
**Subject:** Capstone Meeting

## Capstone Meeting

Duration: 36 Seconds

### +1 (202) 564-4256

Other: [+1 \(202\) 564-4256](#)

### +1 (202) 839-1889

Other: [+1 \(202\) 839-1889](#)

### thompson.briank@epa.gov

ATTORNEY-ADVISER , OECA

Work: [202-564-4256](#)

Email: [thompson.briank@epa.gov](mailto:thompson.briank@epa.gov)

IM: [thompson.briank@epa.gov](#)

### +1 (202) 564-1821

Other: [+1 \(202\) 564-1821](#)

### Stilp, Mark

ATTORNEY-ADVISER , OGC

Work: [2025644845](#)

Email: [stilp.mark@epa.gov](mailto:stilp.mark@epa.gov)

IM: [stilp.mark@epa.gov](#)

### +1 (202) 564-1915

Other: [+1 \(202\) 564-1915](#)

### Jones-Parra, Lisa

INFORMATION MANAGEMENT SPECIALIST , OEI

Work: [2025661157](#)

Work: [202-566-1157](#)

Email: [jones-parra.lisa@epa.gov](mailto:jones-parra.lisa@epa.gov)

IM: [jones-parra.lisa@epa.gov](#)

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Skype for Business

## Appointment

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**From:** Fine, Steven [fine.steven@epa.gov]  
**Sent:** 11/15/2017 10:06:05 PM  
**To:** Fine, Steven [fine.steven@epa.gov]; Moser, Rebecca [Moser.Rebecca@EPA.GOV]; Johnston, Robert [Johnston.Robert@epa.gov]; Hearn, Liza [Hearn.Liza@epa.gov]; Blake, Wendy [Blake.Wendy@epa.gov]; Kelly, Lynn [Kelly.Lynn@epa.gov]; Miller, Kevin [Miller.Kevin@epa.gov]; Simon, Harvey [Simon.Harvey@epa.gov]; Virgille, Joanne [Virgille.Joanne@epa.gov]; Perkins, Shannon [perkins.shannon@epa.gov]; Thompson, BrianK [Thompson.BrianK@epa.gov]; Ellis, John [Ellis.john@epa.gov]; Carter-Jenkins, Shakeba [Carter-Jenkins.Shakeba@epa.gov]; Widener, Charles (Chuck) [Widener.Charles@epa.gov]  
**CC:** Jacks, Susan [Jacks.Susan@epa.gov]; Jones, Tawaunna [Jones.Tawaunna@epa.gov]; Jones-Parra, Lisa [Jones-Parra.Lisa@epa.gov]; Grogard, Megan [Grogard.Megan@epa.gov]; Hammitt, Jennifer [Hammitt.Jennifer@epa.gov]

**Subject:** Canceled: Capstone  
**Attachments:** Canceled: Capstone; Canceled: Capstone; Untitled Attachment  
**Location:** DCRoomARN5020/DC-AR-OEI

**Start:** 1/1/2018 1:30:00 PM  
**End:** 1/1/2018 2:15:00 PM  
**Show Time As:** Free

**Importance:** High

**Recurrence:** Weekly  
every Monday from 8:30 AM to 9:15 AM

**Required Attendees:** Moser, Rebecca; Johnston, Robert; Hearn, Liza; Blake, Wendy; Kelly, Lynn; Miller, Kevin; Simon, Harvey; Virgille, Joanne; Perkins, Shannon; Thompson, BrianK; Ellis, John; Carter-Jenkins, Shakeba; Widener, Charles (Chuck)  
**Optional Attendees:** Jacks, Susan; Jones, Tawaunna; Jones-Parra, Lisa; Grogard, Megan; Hammitt, Jennifer

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As of November 15, 2017: Meeting scheduled through 2018.-Susan

As of January 4, 2018: Changed audio conf information for the series

As of January 11, 2018: Changed audio conf information to Steve's new number under O365 Dial-in Conferencing -- LJP

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### Join online meeting

Trouble Joining? [Try Skype Web App](#)

Ex. 6 Personal Privacy (PP)

## Appointment

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**To:** Moser, Rebecca [Moser.Rebecca@EPA.GOV]; Perkins, Shannon [perkins.shannon@epa.gov]; Thompson, BrianK [Thompson.BrianK@epa.gov]; Carter-Jenkins, Shakeba [Carter-Jenkins.Shakeba@epa.gov]; Johnston, Robert [Johnston.Robert@epa.gov]; Hearn, Liza [Hearn.Liza@epa.gov]; Kelly, Lynn [Kelly.Lynn@epa.gov]; Miller, Kevin [Miller.Kevin@epa.gov]; Simon, Harvey [Simon.Harvey@epa.gov]; Virgile, Joanne [Virgile.Joanne@epa.gov]; Ellis, John [Ellis.john@epa.gov]; Widener, Charles (Chuck) [Widener.Charles@epa.gov]; Fine, Steven [fine.steven@epa.gov]; Moser, Rebecca [Moser.Rebecca@EPA.GOV]; Johnston, Robert [Johnston.Robert@epa.gov]; Hearn, Liza [Hearn.Liza@epa.gov]; Blake, Wendy [Blake.Wendy@epa.gov]; Kelly, Lynn [Kelly.Lynn@epa.gov]; Miller, Kevin [Miller.Kevin@epa.gov]; Simon, Harvey [Simon.Harvey@epa.gov]; Virgile, Joanne [Virgile.Joanne@epa.gov]; Perkins, Shannon [perkins.shannon@epa.gov]; Thompson, BrianK [Thompson.BrianK@epa.gov]; Ellis, John [Ellis.john@epa.gov]; Carter-Jenkins, Shakeba [Carter-Jenkins.Shakeba@epa.gov]; Widener, Charles (Chuck) [Widener.Charles@epa.gov]

**CC:** Hammit, Jennifer [Hammit.Jennifer@epa.gov]; Jacks, Susan [Jacks.Susan@epa.gov]; Jones, Tawanna [Jones.Tawanna@epa.gov]; Jones-Parra, Lisa [Jones-Parra.Lisa@epa.gov]; Grogard, Megan [Grogard.Megan@epa.gov]; Jacks, Susan [Jacks.Susan@epa.gov]; Jones, Tawanna [Jones.Tawanna@epa.gov]; Jones-Parra, Lisa [Jones-Parra.Lisa@epa.gov]; Grogard, Megan [Grogard.Megan@epa.gov]; Hammit, Jennifer [Hammit.Jennifer@epa.gov]

**Subject:** Canceled: Capstone  
**Location:** DCRoomARN5020/DC-AR-OEI

**Start:** 1/1/2018 1:30:00 PM  
**End:** 1/1/2018 2:15:00 PM  
**Show Time As:** Free

**Importance:** High

**Recurrence:** (none)

**Required Attendees:** Moser, Rebecca; Johnston, Robert; Hearn, Liza; Blake, Wendy; Kelly, Lynn; Miller, Kevin; Simon, Harvey; Virgile, Joanne; Perkins, Shannon; Thompson, BrianK; Ellis, John; Carter-Jenkins, Shakeba; Widener, Charles (Chuck)

## Appointment

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**From:** Fine, Steven [/O=EXCHANGELABS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=D28C9693C45C41E8A941BC51D2C4914C-FINE, STEVE]  
**Sent:** 1/8/2018 5:05:47 PM  
**To:** Fine, Steven [fine.steven@epa.gov]; Moser, Rebecca [Moser.Rebecca@EPA.GOV]; Johnston, Robert [Johnston.Robert@epa.gov]; Hearn, Liza [Hearn.Liza@epa.gov]; Blake, Wendy [Blake.Wendy@epa.gov]; Kelly, Lynn [Kelly.Lynn@epa.gov]; Miller, Kevin [Miller.Kevin@epa.gov]; Simon, Harvey [Simon.Harvey@epa.gov]; Virgille, Joanne [Virgille.Joanne@epa.gov]; Perkins, Shannon [perkins.shannon@epa.gov]; Thompson, BrianK [Thompson.BrianK@epa.gov]; Ellis, John [Ellis.john@epa.gov]; Carter-Jenkins, Shakeba [Carter-Jenkins.Shakeba@epa.gov]; Widener, Charles (Chuck) [Widener.Charles@epa.gov]  
**CC:** Jacks, Susan [Jacks.Susan@epa.gov]; Jones, Tawaunna [Jones.Tawaunna@epa.gov]; Jones-Parra, Lisa [Jones-Parra.Lisa@epa.gov]; Grogard, Megan [Grogard.Megan@epa.gov]; Hammitt, Jennifer [Hammitt.Jennifer@epa.gov]  
**Subject:** Canceled: Capstone  
**Location:** DCRoomARN5020/DC-AR-OEI  
**Start:** 1/16/2018 1:30:00 PM  
**End:** 1/16/2018 2:00:00 PM  
**Show Time As:** Free  
**Importance:** High  
**Recurrence:** Weekly  
every Monday from 8:30 AM to 9:15 AM  
**Required Attendees:** Moser, Rebecca; Johnston, Robert; Hearn, Liza; Blake, Wendy; Kelly, Lynn; Miller, Kevin; Simon, Harvey; Virgille, Joanne; Perkins, Shannon; Thompson, BrianK; Ellis, John; Carter-Jenkins, Shakeba; Widener, Charles (Chuck)  
**Optional Attendees:** Jacks, Susan; Jones, Tawaunna; Jones-Parra, Lisa; Grogard, Megan; Hammitt, Jennifer

### Ex. 6 Personal Privacy (PP)

As of November 15, 2017: Meeting scheduled through 2018.-Susan

### Ex. 6 Personal Privacy (PP)

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Everyone: No meeting on Monday August 6<sup>th</sup>. This series is being cancelled to remove it from Steve's calendar. A new series is coming soon.

This is an online meeting for Skype for Business, the professional meetings and communications app formerly known as Lync.

Message

**From:** Blake, Wendy [/O=EXCHANGELABS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=902120F35D04482E86206D296AD452FC-BLAKE, WENDY]  
**Sent:** 11/27/2017 10:57:14 PM  
**To:** Kelly, Lynn [Kelly.Lynn@epa.gov]  
**CC:** Miller, Kevin [Miller.Kevin@epa.gov]; Hammitt, Jennifer [Hammitt.Jennifer@epa.gov]  
**Subject:** FW: Capstone Announcement

Lynn – Can you take a look at the following email from Paul Simon? I know you prepared an email to me within the last two months, responding to one of Paul's other questions on Capstone and the 10 year records schedules. Do you recall if your prior email to me addressed the question below. Let me know. I am having a hard time finding that prior email, which is why I am reaching out to you. Thanks in advance,

Wendy

Wendy L. Blake  
Associate General Counsel  
General Law Office  
Office of General Counsel  
U.S. Environmental Protection Agency  
phone: (202) 564-1821  
fax: (202) 564-5433

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**From:** Simon, Paul  
**Sent:** Monday, November 27, 2017 5:54 PM  
**To:** Blake, Wendy <Blake.Wendy@epa.gov>; Hammitt, Jennifer <Hammitt.Jennifer@epa.gov>  
**Cc:** Fitzgerald, Rebecca <Fitzgerald.Rebecca@epa.gov>; Hick, Patricia <Hick.Patricia@epa.gov>  
**Subject:** FW: Capstone Announcement

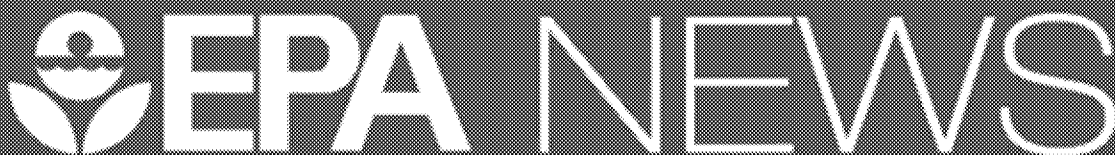
Hi, Wendy and Jennifer.

Ex. 5 AC/DP

**Ex. 5 AC/DP**

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**From:** MassMailer  
**Sent:** Thursday, November 16, 2017 2:15 PM  
**To:** MassMailer <massmailer@epa.gov>  
**Subject:** Capstone Announcement



This email message is being sent to EPA employees.

**Message from:** Steve Fine, Acting Chief Information Officer

Dear Colleagues,

I am pleased to announce that in the first half of calendar year 2018, EPA will implement a new email records management approach called "Capstone," which should make email records management easier for you.

The current approach to managing email records is based on the content of the email and relies on you to use the EPA EZ Email Records tool to save selected emails as records. By contrast, Capstone uses a role-based approach that retains employees' emails for a specific period of time based on employees' positions. Capstone will greatly diminish your burden of managing email records, while facilitating records management throughout EPA.

The National Archives and Records Administration (NARA) has approved EPA's Capstone application, and the agency is implementing Capstone consistent with its [recommendations](#). The following information in this message provides specific details that will help you and the agency through this transition.

**Until Capstone begins in early calendar 2018, you should continue handling emails per current records management policies and procedures.** Please read the information below to familiarize yourself with Capstone implementation and the **actions you need to take now** to prepare.

- [General Capstone overview](#)
- [What does Capstone mean for me?](#)
- [How should I prepare for Capstone?](#)
- [How long do I have to prepare for Capstone?](#)
- [Will Capstone apply to my old Lotus Notes mail?](#)
- [Additional Information, FAQs, and Lotus Notes email migration info,](#)
- [Point of Contacts](#)

### General Capstone overview

Under the Capstone approach, roles are broken down into two categories: Capstone Officials and non-Capstone employees. The list of [EPA's Capstone Officials](#) comprises 108 designated senior official positions. EPA will update this list annually. As explained below, after 90 days from the date an email is created or received, Capstone Officials' emails become permanent records and are transferred to NARA when they become 15 years old.

Further, as explained below, after 90 days from the date an email is created or received, emails of non-Capstone employees will be kept for 10 years and then deleted (unless subject to a litigation hold or other preservation obligation). If, according to EPA's records schedules, an email record of a non-Capstone employee needs to be retained longer than 10 years, that message is considered to be an exception, and the employee must save that email in the Enterprise Content Management System (ECMS) using the [EZ Email Records Tool](#). Since you will only need to use the EZ Email Records tool for those records that must be retained more than 10 years, the time you need to spend managing email records will be significantly reduced.

The Office of Land and Emergency Management (OLEM) will provide directions for managing Superfund-related emails to ensure that the applicable retention timeframes are maintained. Employees who have Superfund-related emails do not need to do anything with respect to those emails until the OLEM guidance has been issued. OLEM anticipates issuing that guidance during the coming week.

### What does Capstone mean for me?

All Employees
You will have <b>90 days</b> from the time the email was created or received to delete any junk mail or personal email. <a href="#">Transitory records</a> should also be deleted within 90 days, if no longer needed. (This process is known as "culling.")

<b>After the 90-day culling period</b> , your emails will be kept for either ten years or permanently, depending on your role.	
After <b>2 years</b> , emails will be automatically moved to an archive folder in your Outlook mailbox. You will still have access to the emails in your archive folder. This move is designed to improve the performance of your Outlook mailbox.	
Capstone Officials	Non-Capstone Employees
<b>After the 90-day culling period</b> , your emails will be kept permanently.	<b>After the 90-day culling period</b> , your emails will be kept for ten years.
While you are in a Capstone position, you do not need to manually add email records to ECMS.	If, per EPA's records schedules, an email record needs to be retained longer than <b>10 years</b> , you must save it in ECMS where it will be retained according to the approved records schedule. It is recommended that this be done as soon as possible after the email is received or created but it must be done within 2 years.
After <b>15 years</b> , your email from the period you were a Capstone Official will be transferred to NARA. Then all of your email older than 15 years will be deleted from the email system (unless subject to a litigation hold or other preservation obligation).	After <b>10 years</b> , your email will be deleted from the email system (unless subject to a litigation hold or other preservation obligation).

### How should I prepare for Capstone?

We need your assistance to prepare for Capstone implementation. Below are some actions you need to take regarding existing email in Lotus Notes and Outlook.

On Oct. 5, you received an email from 'MassMailer' with the subject "[Employee Action Item: Lotus Notes Email](#)" that describes steps you need to take to manage your Lotus Notes email before general access to Lotus Notes ceases on Dec. 31, 2017. You must follow those instructions to prepare your Lotus Notes email for Capstone. In addition, you must follow the instructions below to prepare your Outlook email for Capstone.

As stated above, OLEM will provide directions for managing Superfund-related emails. Employees who have Superfund-related emails do not need to do anything with respect to those emails until the guidance is issued. OLEM anticipates issuing that guidance during the coming week.

- For non-Capstone employees, email records with a retention longer than 10 years:** Non-Capstone employees must save emails that are subject to a retention schedule that exceeds 10 years in ECMS (does not apply to Superfund-related emails). The links below provide additional information:
  - [Information on what constitutes a record.](#)
  - [A retention matrix listing the records schedules that exceed 10 years.](#)
  - [How to save Outlook email records in ECMS.](#)
  - [FAQs on email and records.](#)
- Emails subject to litigation hold:** You must continue to retain emails that are subject to a litigation hold or other preservation obligation in your email box. You should not delete any emails subject to litigation holds or other obligations, regardless of their record status.

You can [check the EPA's litigation hold portal](#) for links to your litigation holds. You should have also received an email notice from the issuing attorney notifying you of the existence and scope of any litigation holds. EPA will continue to retain emails from individuals identified as subject to litigation holds after the Capstone retention date.



Litigation holds are legal obligations. If you have any questions about your litigation hold obligations, contact the EPA case attorney who issued the litigation hold. If you have technical questions or are unable to access the litigation hold portal link (above), please contact [eDiscovery@epa.gov](mailto:eDiscovery@epa.gov) for technical support.

- **Emails subject to an official information request (such as a pending or recently closed FOIA request or appeal):** If you have emails concerning or responsive to a pending FOIA request, a recently closed FOIA request (within 90 days), or a FOIA appeal, you must continue to retain those emails. If you have questions related to FOIA records, please contact the EPA employee or program office that is coordinating the FOIA response.
- **Emails not subject to any preservation obligation:** You should delete emails that are not subject to any preservation obligations such as mass mailers, news articles, PAVE announcements, or other emails that are not records.
- **Personal emails:** You should delete personal messages that are not relevant to EPA's work.

### **How long do I have to prepare for Capstone?**

We recommend that you begin reviewing and culling your email now, as appropriate. Please focus on Lotus Notes first. Management of your email in Lotus Notes should be completed by Dec. 31. We anticipate that Capstone will start no earlier than March 31, 2018, so you have at least until that time to prepare your Outlook email.

### **Will Capstone apply to my old Lotus Notes mail?**

As stated in the [Oct. 5 Lotus Notes mass mailer](#), the agency plans to migrate Lotus Notes email dated Jan. 1, 2007 or later into your Outlook archives. Once the email is migrated and Capstone is implemented, the guidelines described above under Capstone will apply, and emails older than 10 years will be deleted from your Outlook archives, even if they moved over as part of the migration from Lotus Notes. Email dated prior to Jan. 1, 2007, was under the print/file approach for records management and will not be migrated (with some exceptions such as email subject to litigation hold). We are working with NARA to secure approval of a records schedule to dispose of electronic email in Lotus Notes created or received prior to Jan. 1, 2007.

The following will NOT be deleted as part of eliminating Lotus Notes email:

- Email subject to litigation hold or other preservation obligations. We plan to move these emails to Outlook, where they will be retained so long as they remain subject to litigation holds.
- Email previously saved in ECMS, which will be retained in ECMS.
- Email that is saved outside of the Lotus Notes system (e.g., PDF files).

### **Additional Information:**

- [Frequently-Asked-Questions](#)
- [Questions about Lotus Notes Email Migration](#)

### **Contacts:**

- [Robert Johnston](#), Director, Enterprise Records Management Division, 202-566-1637
- [John Ellis](#), EPA Records Officer, 202-566-1643
- [Records Help Desk](#), 202-566-1494
- [Jennifer Sutton](#), OLEM (for questions regarding Superfund-related records), 703-603-8718

I'd like to reiterate that we currently anticipate implementing Capstone in the first half of calendar year 2018. We will send additional communications regarding Capstone in advance of its implementation.

Thank you,  
Steve

Message

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**From:** Jones-Parra, Lisa [Jones-Parra.Lisa@epa.gov]  
**Sent:** 11/2/2017 4:40:30 PM  
**To:** Blake, Wendy [Blake.Wendy@epa.gov]  
**CC:** Fine, Steven [fine.steven@epa.gov]; Kelly, Lynn [Kelly.Lynn@epa.gov]; Hammitt, Jennifer [Hammitt.Jennifer@epa.gov]  
**Subject:** Capstone Mass Mailer  
**Attachments:** Capstone Agency-wide memo 2017-11-2.docx

Hi Wendy,

We have finalized the mass mailer and are sending to you for final concurrence before sending to OPA. We accepted all your edits and resolved your comments as you and Steve discussed. In addition we included the information about how Capstone applies calendars. Please note the following:

- 
- **Ex. 5 Deliberative Process (DP)**

We look forward to hearing from you as soon as possible to ensure you concur with the final version.

Thanks

Lisa

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Lisa Jones-Parra  
Senior Advisor to the Acting Assistant Administrator  
and Acting Chief Information Officer  
Office of Environmental Information  
U.S. Environmental Protection Agency  
Desk: (202) 566-1157  
Cell: Ex. 6 Personal Privacy (PP)

Message

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**From:** Jones-Parra, Lisa [Jones-Parra.Lisa@epa.gov]  
**Sent:** 9/19/2018 4:12:23 PM  
**To:** Blake, Wendy [Blake.Wendy@epa.gov]; Kelly, Lynn [Kelly.Lynn@epa.gov]; Moser, Rebecca [Moser.Rebecca@EPA.GOV]; Johnston, Robert [Johnston.Robert@epa.gov]  
**CC:** Hearn, Liza [Hearn.Liza@epa.gov]; Miller, Kevin [Miller.Kevin@epa.gov]; Thompson, BrianK [Thompson.BrianK@epa.gov]  
**Subject:** FW: FOR YOUR REVIEW: Draft Mass Mailer - Capstone  
**Attachments:** Capstone mass mailer 2018-09-19.docx

**Importance:** High

Hello Wendy,

I made a few changes based on our conversation earlier today. Please take a look, I hope to be able to have it ready for Vaughn's review yesterday and then to OIC.

Rebecca/Robert: Please note that the biggest change I made was

**Ex. 5 Deliberative Process (DP)**

## **Ex. 5 Deliberative Process (DP)**

My goal is to finalize this tomorrow so that I could have Vaughn review/concur before sending to OIC before my vacation next week.

Thanks

Lisa

### **Ex. 6 Personal Privacy (PP)**

Lisa Jones-Parra  
Senior Advisor  
Immediate Office, Office of Environmental Information  
U.S. Environmental Protection Agency  
Desk: (202) 566-1157  
Cell: **Ex. 6 Personal Privacy (PP)**

---

**From:** Jones-Parra, Lisa  
**Sent:** Thursday, September 13, 2018 5:48 PM  
**To:** Blake, Wendy <Blake.Wendy@epa.gov>  
**Cc:** Miller, Kevin <Miller.Kevin@epa.gov>; Kelly, Lynn <Kelly.Lynn@epa.gov>; Hammitt, Jennifer <Hammitt.Jennifer@epa.gov>; Stilp, Mark <Stilp.Mark@epa.gov>; Rebecca Moser <Moser.Rebecca@epa.gov>; Robert Johnston <Johnston.Robert@epa.gov>; Thompson, BrianK <Thompson.BrianK@epa.gov>; Hearn, Liza (Hearn.Liza@epa.gov) <Hearn.Liza@epa.gov>  
**Subject:** FOR YOUR REVIEW: Draft Mass Mailer - Capstone

Hi Wendy,

Please see attached the draft mass mailer. There are a few facts that I have to update (I have comments reflecting that I have to make the change) and I also have an email out to Jennifer Sutton to ensure

**Ex. 5 Deliberative Process (DP)**

**Ex. 5 Deliberative Process (DP)**

Please let us know what you think, feel free to provide comments. Note that the base of the email is the last one sent last February so you can focus on the changes made from that version.

Thanks

Lisa

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Lisa Jones-Parra

Senior Advisor

Immediate Office, Office of Environmental Information

U.S. Environmental Protection Agency

Desk: (202) 566-1157

Cell: Ex. 6 Personal Privacy (PP)

## Appointment

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**From:** Jones-Parra, Lisa [Jones-Parra.Lisa@epa.gov]  
**Sent:** 10/22/2018 2:12:11 PM  
**To:** Hearn, Liza [Hearn.Liza@epa.gov]; Moser, Rebecca [Moser.Rebecca@EPA.GOV]; Johnston, Robert [Johnston.Robert@epa.gov]; Thompson, BrianK [Thompson.BrianK@epa.gov]; Blake, Wendy [Blake.Wendy@epa.gov]; Stilp, Mark [Stilp.Mark@epa.gov]; Holland, Ramona [Holland.Ramona@epa.gov]; Kelly, Lynn [Kelly.Lynn@epa.gov]; Miller, Kevin [Miller.Kevin@epa.gov]

**Subject:** Capstone Meeting  
**Attachments:** Capstone Agenda - October 22nd.docx; Capstone Actions.xlsx  
**Location:** DCRoomARN5020/DC-AR-OEI

**Start:** 10/29/2018 4:00:00 PM  
**End:** 10/29/2018 5:00:00 PM  
**Show Time As:** Tentative

**Recurrence:** Weekly  
every 2 week(s) on Monday from 11:00 AM to 12:00 PM  
**Required Attendees:** Hearn, Liza (Hearn.Liza@epa.gov); Rebecca Moser; Robert Johnston; Thompson, BrianK; Blake, Wendy; Stilp, Mark; Holland, Ramona; Kelly, Lynn; Miller, Kevin



Capstone Agenda -  
October 22nd.docx



Capstone  
Actions.xlsx

---

### → Join Skype Meeting

Trouble Joining? [Try Skype Web App](#)

### Join by Phone

Toll number: +1 (202) 991-0477, access code: 5508048

[Find a local number](#)

Conference ID: 5508048 (same as access code above)

[Help](#)

Message

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**From:** Bigioni, Neil [bigioni.neil@epa.gov]  
**Sent:** 8/8/2017 12:10:22 PM  
**To:** Blake, Wendy [Blake.Wendy@epa.gov]  
**Subject:** RE: records management issues

Thanks. Catch up with you after you've returned.

Neil

---

**From:** Blake, Wendy  
**Sent:** Monday, August 07, 2017 7:15 PM  
**To:** Bigioni, Neil <bigioni.neil@epa.gov>  
**Cc:** Simon, Paul <Simon.Paul@epa.gov>; Dolph, Becky <Dolph.Becky@epa.gov>; Schaaf, Eric <Schaaf.Eric@epa.gov>; Hick, Patricia <Hick.Patricia@epa.gov>; Quast, Sylvia <Quast.Sylvia@epa.gov>  
**Subject:** Re: records management issues

Hi Neil - I hope you had a great vacation. I am on leave. I have answers to Paul's questions but didn't have a chance to respond before I left Ex. 6 Personal Privacy (PP) but will try to send a response at some point before then.

I explained at senior staff last week that there was no error with the proposed new records schedule Ex. 5 AC/DP

**Ex. 5 AC/DP**

Wendy

Sent from my iPhone

On Aug 7, 2017, at 4:19 PM, Bigioni, Neil <[bigioni.neil@epa.gov](mailto:bigioni.neil@epa.gov)> wrote:

Wendy and Becky,

I've been out of the office and just saw Paul's questions, many of which I have. Was wondering if Jennifer or others have had an opportunity to respond.

Thanks,

Neil

---

**From:** Simon, Paul  
**Sent:** Tuesday, July 25, 2017 5:32 PM  
**To:** Blake, Wendy <[Blake.Wendy@epa.gov](mailto:Blake.Wendy@epa.gov)>; Dolph, Becky <[Dolph.Becky@epa.gov](mailto:Dolph.Becky@epa.gov)>  
**Cc:** Schaaf, Eric <[Schaaf.Eric@epa.gov](mailto:Schaaf.Eric@epa.gov)>; Hick, Patricia <[Hick.Patricia@epa.gov](mailto:Hick.Patricia@epa.gov)>; Quast, Sylvia <[Quast.Sylvia@epa.gov](mailto:Quast.Sylvia@epa.gov)>; Bigioni, Neil <[bigioni.neil@epa.gov](mailto:bigioni.neil@epa.gov)>  
**Subject:** records management issues

Hi, Wendy and Becky. I saw the NRMP Alert below, along with the answers that were submitted on behalf of John Ellis to the questions that Region 2's Records Liaison Officer (Rebecca Fitzgerald) posed. I have a few questions about this, which I'm hoping you or Jennifer Hammitt can shed light on...? Thanks very much!

1.

**Ex. 5 AC/DP**

2.

**Ex. 5 AC/DP**

3.

**Ex. 5 AC/DP**

I have a bunch of concerns about that:

(a)

(b)

**Ex. 5 AC/DP**

(c)

4. The NRMP folks say below:

**Ex. 5 AC/DP**

So, does that mean that under Capstone, we will be able to use Outlook as our electronic recordkeeping system for emails that are less than 10 years old but not for older emails? Insofar as older emails are concerned, I don't think **Ex. 5 AC/DP**

**Ex. 5 AC/DP**

Is some other searchable, compliant electronic recordkeeping system being obtained for such emails?

5. I believe Wendy mentioned during the OGC mtg this morning that Ex. 5 AC/DP

**Ex. 5 AC/DP**

6. I'm not sure if I'm reading the proposed EPA Records Schedule 0760 correctly but it seems to be saying that Ex. 5 AC/DP

**Ex. 5 AC/DP**

**Ex. 5 AC/DP**

Also, aren't there some other EPA records schedules that have retention periods longer than 10 years? If so, would this new Schedule 0760 supersede those other schedules, insofar as pre-1/1/07 Lotus Notes emails are concerned?

Thank you very much. I'm cc'ing Sylvia since she brought up this topic on the call this morning and am cc'ing Neil because of his interest in these issues.

Paul

Paul Simon  
Deputy Regional Counsel  
EPA Region 2  
212-637-3152  
[Simon.paul@epa.gov](mailto:Simon.paul@epa.gov)

---

**From:** Records

**Sent:** Friday, July 07, 2017 9:45 AM

**To:** Fitzgerald, Rebecca <[Fitzgerald.Rebecca@epa.gov](mailto:Fitzgerald.Rebecca@epa.gov)>

**Cc:** Fischer, Lauren <[Fischer.Lauren@epa.gov](mailto:Fischer.Lauren@epa.gov)>; Hick, Patricia <[Hick.Patricia@epa.gov](mailto:Hick.Patricia@epa.gov)>; Raut, Leena <[Raut.Leena@epa.gov](mailto:Raut.Leena@epa.gov)>; Villatora, Liliana <[Villatora.Liliana@epa.gov](mailto:Villatora.Liliana@epa.gov)>; Murphy, Michael D. <[Murphy.MichaelD@epa.gov](mailto:Murphy.MichaelD@epa.gov)>; Timander, Linda <[Timander.Linda@epa.gov](mailto:Timander.Linda@epa.gov)>; Ellis, John <[Ellis.john@epa.gov](mailto:Ellis.john@epa.gov)>; Johnston, Robert <[Johnston.Robert@epa.gov](mailto:Johnston.Robert@epa.gov)>; Rutsala, Katherine <[Rutsala.Katherine@epa.gov](mailto:Rutsala.Katherine@epa.gov)>

**Subject:** Re: NRMP Alert: Draft Records Schedule Ready for Agency-wide Comment

Thank you, Rebecca, for your thoughtful comments. Please see our responses below.

Sent on behalf of John B. Ellis, Agency Records Officer

U.S. EPA National Records Management Program  
Help Desk: 202-566-1494 or [records@epa.gov](mailto:records@epa.gov)  
[intranet.epa.gov/records](http://intranet.epa.gov/records) (EPA only)

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**From:** Fitzgerald, Rebecca

**Sent:** Wednesday, July 5, 2017 4:33 PM

**To:** Records

**Cc:** Fischer, Lauren; Hick, Patricia; Raut, Leena; Villatora, Liliana; Murphy, Michael D.; Timander, Linda

**Subject:** RE: NRMP Alert: Draft Records Schedule Ready for Agency-wide Comment

Thank you for the opportunity to comment.

**Comments on Schedule 0760**



1. Ex. 5 Deliberative Process (DP)  
Ex. 5 Deliberative Process (DP)

## Ex. 5 Deliberative Process (DP)

2. Ex. 5 Deliberative Process (DP)  
Ex. 5 Deliberative Process (DP)

## Ex. 5 Deliberative Process (DP)

3. Ex. 5 Deliberative Process (DP)  
Ex. 5 Deliberative Process (DP)

## Ex. 5 Deliberative Process (DP)

4. Ex. 5 Deliberative Process (DP)  
Ex. 5 Deliberative Process (DP)

## Ex. 5 Deliberative Process (DP)

5. Ex. 5 Deliberative Process (DP)  
Ex. 5 Deliberative Process (DP)

We agree.

### Comments on Capstone

1. Ex. 5 Deliberative Process (DP)

## Ex. 5 Deliberative Process (DP)

## Ex. 5 Deliberative Process (DP)

2.

Ex. 5 Deliberative Process (DP)

**Ex. 5 Deliberative Process (DP)**

**Ex. 5 Deliberative Process (DP)**

3.

Ex. 5 Deliberative Process (DP)

**Ex. 5 Deliberative Process (DP)**

**Ex. 5 Deliberative Process (DP)**

4.

Ex. 5 Deliberative Process (DP)

**Ex. 5 Deliberative Process (DP)**

**Ex. 5 Deliberative Process (DP)**

5.

Ex. 5 Deliberative Process (DP)

**Ex. 5 Deliberative Process (DP)**

**Ex. 5 Deliberative Process (DP)**

6. One suggestion is to

Ex. 5 Deliberative Process (DP)

**Ex. 5 Deliberative Process (DP)**

Please see response to #1.

7.

Ex. 5 Deliberative Process (DP)

**Ex. 5 Deliberative Process (DP)**

# Ex. 5 Deliberative Process (DP)

Rebecca Fitzgerald  
Records Liaison Officer, Region 2  
212-637-3391

Save It, Find It, Share It

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**From:** Records  
**Sent:** Tuesday, June 06, 2017 3:08 PM  
**Subject:** NRMP Alert: Draft Records Schedule Ready for Agency-wide Comment

## NRMP Alert - Draft Records Schedule Ready for Agency-wide Comment

June 6, 2017

The proposed records schedule listed below is posted to the National Records Management Program (NRMP) intranet site and is ready for Agency-wide comment. **Comments are due 30 calendar days from the date of this message and are to be sent to [records@epa.gov](mailto:records@epa.gov).** If comments are not received by this date, we will assume concurrence.

Federal regulations (36 CFR Part 1225) require that all Federal records must be covered by a National Archives and Records Administration (NARA)-approved records disposition authority, also known as a records schedule. The records schedule indicates how long records must be maintained, and whether they are to be retained permanently or ultimately destroyed. EPA develops its schedules and then submits them to NARA for approval. An explanation of the schedule fields can be found at:

<http://intranet.epa.gov/records/schedule/explanation-of-schedule-fields.html>.

After comments are resolved, the draft will be sent to NARA for review and approval. During their review process, NARA publishes notice of the schedule in the Federal Register for public comment. Once any public comments have been resolved, and the Archivist of the United States approves the schedule, it will be posted as a "final" schedule and the instructions become mandatory.

### New Schedule

0760 Legacy Email  
<http://intranet.epa.gov/records/schedule/devel/0760.html>

## Background

EPA plans to provide EPA staff with an automated method for saving and managing most email records by using NARA's "Capstone" approach. EPA has submitted the Capstone Verification Form to NARA, and expects NARA approval in the coming weeks.

The Capstone approach allows agencies to simplify and automate email records management by categorizing and scheduling email records based on the work and/or position of the email account holder. The benefits of the Capstone approach are:

- Increasing the amount of email of permanent value transferred to NARA,
- Reducing the burden on individual and end-users within agencies,
- Reducing end-users' reliance on print-and-file practices for managing email records, and
- Allowing for the systematic destruction of temporary email based on an approved NARA disposition authority, thereby reducing the amount of email that has no further value being stored by agencies.

Once EPA receives NARA's approval to implement the Capstone approach, the Agency will manage its email based on the role of end-users, rather than on the information content of the emails. More information on EPA's Capstone approach will be available soon.

For EPA's legacy Lotus Notes email, schedule 0760 will allow the deletion/destruction of EPA's legacy Lotus Notes email from the time Lotus Notes was implemented in 1998 through December 31, 2006. During this time period, EPA's policy was to "print and file" email messages that met the definition of a Federal record. Please note that before any action is taken on these legacy Lotus Notes emails, staff will be alerted and provided with a period of time to manage their legacy Lotus Notes email.

Thank you.  
Sent on behalf of John B. Ellis, Agency Records Officer

U.S. EPA National Records Management Program  
Help Desk: 202-566-1494  
[intranet.epa.gov/records](http://intranet.epa.gov/records) (EPA only)

Message

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**From:** Blake, Wendy [/O=EXCHANGELABS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=902120F35D04482E86206D296AD452FC-BLAKE, WENDY]  
**Sent:** 2/29/2016 4:28:29 PM  
**To:** Stilp, Mark [Stilp.Mark@epa.gov]  
**Subject:** FW: Links to the key documents and resources on records management in advance of the General Counsel Exchange Records Management discussion on December 10, 2014:  
**Attachments:** T&Q Exch Records Mgmt Dec 10.doc

Wendy L. Blake  
Associate General Counsel  
General Law Office  
Office of General Counsel  
U.S. Environmental Protection Agency  
phone: (202) 564-1821  
fax: (202) 564-5433

**From:** Jim Pyle [mailto:clpsm@gwu.edu]  
**Sent:** Wednesday, December 03, 2014 7:00 AM  
**To:** (b) (6)

(b) (6)

**Subject:** Links to the key documents and resources on records management in advance of the General Counsel Exchange Records Management discussion on December 10, 2014:

General Counsel Exchange discussion: "Records Management"  
Next Wednesday, December 10, 8AM to 9:45AM  
GWU's Marvin Center (800 21st Street, NW) Room 405

You are already safely on my attendance list, but I wanted you to have the following links in advance of the General Counsel Exchange discussion on records management. Gary Stern at the National Archives sent us these links as background information. Elizabeth Pugh of the Library of Congress also sent notice of the new law addressing electronic records. Finally, as always, please feel free to send me any question on records management you want to see included on the meeting handout - the more the merrier! -- Jim Pyle [clpsm@gwu.edu](mailto:clpsm@gwu.edu)

Links to the key documents and resources on records management for the General Counsel Exchange discussion on December 10, 2014:

OMB/NARA Memorandum M-14-16, "Guidance on Managing Email"/NARA Bulletin 2014-06, "Guidance on Managing Email" (9/15/14)

<http://www.whitehouse.gov/sites/default/files/omb/memoranda/2014/m-14-16.pdf>

NARA Bulletin 2013-02, "Guidance on a New Approach to Managing Email Records" – the Capstone Approach (8/29/13)

<http://www.archives.gov/records-mgmt/bulletins/2013/2013-02.html>

OMB/NARA Memorandum M-12-18, Managing Government Records Directive (8/24/12)

<http://www.whitehouse.gov/sites/default/files/omb/memoranda/2012/m-12-18.pdf>

President's November 29, 2011 Memorandum on Managing Government Records

<http://www.whitehouse.gov/the-press-office/2011/11/28/presidential-memorandum-managing-government-records>

NARA Webpage on Email Management:

<http://www.archives.gov/records-mgmt/email-mgmt.html>

Elizabeth Pugh at the Library of Congress was kind enough to forward the following update:

### **National Archives Welcomes Presidential and Federal Records Act Amendments of 2014**

*H.R. 1233 modernizes definition of federal records to include electronic records*

On November 26th, President Barack Obama signed into law H.R. 1233, the Presidential and Federal Records Act Amendments of 2014. This new law modernizes records management by focusing more directly on electronic records, and complements efforts by the National Archives and the Office of Management and Budget to implement the President's 2011 Memorandum on Managing Government Records.

Major updates to the Presidential and Federal Records Acts include:

- Strengthening the Federal Records Act by expanding the definition of Federal records to clearly include electronic records. This

is the first change to the definition of a Federal record since the enactment of the act in 1950.

- Confirming that Federal electronic records will be transferred to the National Archives in electronic form.

- Granting the Archivist of the United States final determination as to what constitutes a federal record.

- Authorizing the early transfer of permanent electronic federal and Presidential records to the National Archives, while legal custody remains with the agency or the President.
- Clarifying the responsibilities of federal government officials when using non-government email systems.
- Empowering the National Archives to safeguard original and classified records from unauthorized removal.
- Codifying procedures by which former and incumbent Presidents review Presidential records for constitutional privileges. Formerly, this process was controlled by an Executive Order subject to change by different administrations.

Archivist of the United States David S. Ferriero praised the passage of HR 1233:

“We welcome this bipartisan effort to update the nation’s records laws for the 21st Century. H.R. 1233 could not have become law without the efforts of House Oversight and Government Reform Committee Ranking Member Elijah Cummings (D-MD) and Chairman Issa (R-CA), and Senate Homeland Security and Governmental Affairs Committee Chairman Carper (D-DE) and Ranking Member Coburn (R-OK), in shining a spotlight on the challenges that so many federal agencies and presidential administrations have faced in managing their electronic records.”

#### Background:

**The Federal Records Act of 1950**, as amended, establishes the framework for records management programs in Federal Agencies. As the primary agency for records management oversight, the National Archives and Records Administration is responsible for assisting Federal agencies in maintaining adequate and proper documentation of policies and transactions of the Federal Government. This is done by appraising records, regulating and approving the disposition of Federal records, operating Federal Records Centers and preserving permanent records.

**The Presidential Records Act of 1978** governs the official records of Presidents and Vice Presidents created or received for all Presidents who come into office after January 20, 1981. This Act changed the legal ownership of the official records of the President from private to public, and established a new statutory structure under which Presidents must manage the records while in office, and the records automatically transfer into the legal custody of the National Archives when the President leaves office.

General Counsel Exchange: December 10, 2014 – 8AM to 9:45AM  
Marvin Center **Room 405** – 800 21<sup>st</sup> Street, NW  
**"Records Management"**  
Program for Law Practice Strategy and Management  
The George Washington University

**Topic Suggestions for January 21, 2015♦March 11, 2015♦April 29, 2015**

1. **Your Own Suggestions:** The topic suggestions below are simply fuel for your own thoughts. What issues within your Office would benefit from group discussion? If you would like your own topic suggestions to be on the written ballot distributed at the beginning of the discussion, please submit your suggestions in advance of the discussion to Jim Pyle by email (clpsm@gwu.edu), fax (202-994-7718) or by telephone (202-994-4932).  

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2. **Institutional Memory/Knowledge Management/Phased Retirement/Succession Planning:** How can the Office preserve the experience of long-term members now contemplating retirement? How does the Office maintain internal teaching materials and what is the nature of these materials? In this context, who does what? What resources can the Office devote to knowledge management, succession planning and the issues related to these broad topics?
3. **Performance measures:** How does the Office prove what it does? How does the Office measure its work and the value of that work? How does the Office advertise its value to the parent entity?
4. **Professional Responsibility:** What training does the OGC/OCC provide and to whom? How do managers tie the deployment of knowledge management and record retention tools to correct and thorough legal research in a fast-paced, resource-starved environment? How do managers ensure rich interaction with clients to ensure effective counseling?
5. **Equal Employment Opportunity Cases:** What is the relationship of the government agency to its managers in the context of EEO cases? What issues currently cause concern?
6. **Employee Viewpoint Survey Results and Reactions:** Is your Office taking any action based on the Survey?



7. **Transition to a New Administration:** Still too early to discuss this?
8. **Administrative Leave:** How does the Office address the question of administrative leave in the context of disciplinary actions involving parent entity personnel?

<b>Standard Operating Questions</b>
-------------------------------------

1. **Request for Contacts:** Does anyone need contacts with whom to pursue a specific question?
2. **Quick Hits for Improving Quality of Life:** Are there any modest, small-scale initiatives that members have undertaken to improve the quality of life at the Office for some or all employees?
3. **Training Opportunities to Share:** Is anyone planning any formal training in the next three months in which they could include a handful of participants from other Offices?

<b>Questions for Reflection: "Records Management"</b>
-------------------------------------------------------

1. **Your Own Questions:** The questions which follow are fuel for your own questions on "Records Management." What questions would you like to pose to your counterparts at other Offices? If you would like your own questions to be on the written ballot distributed at the beginning of the discussion, please submit them in advance of the meeting to Jim Pyle by email (clpsm@gwu.edu), fax (202-994-7718) or by telephone (202-994-4932).  
  
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2. **Current Challenges and Issues:** In the context of records management, what are the issues, deficiencies and/or concerns that managers consider to be the most difficult?
3. **Records Management on Personal Devices:** What records management issues have managers encountered when colleagues use personal devices to accomplish work? Are relevant systems able to capture/log these records?
4. **Financing Records Management:** Is there an unfunded mandate to manage OGC/OCC records? Does the parent agency labor under a similar unfunded or under-funded mandate? If so, how should managers respond? Are there useful scare tactics about what can happen or, in fact, has happened if courts discover non-compliance?

5. **Parent Agency Records Management Personnel:** How does the OGC/OCC coordinate its internal efforts as well as its work for clients with records management personnel elsewhere in the parent agency? How effective is this coordination?
6. **Record Retention:** Are OGC/OCC managers satisfied with the state of record retention at the OGC/OCC? If not, what are the barriers managers have encountered, e.g., financial, technological, not enough hours in the day? Are clients satisfied with the OGC/OCC's guidance on record retention? How do you retain e-mail and website content? What challenges exist at present?
7. **Managing Electronic Records:** How does the OGC/OCC manage its electronic records at present? Is current practice satisfactory? If not, where can managers turn for guidance? Are budget constraints the main difficulty? What guidance do clients require in order to manage their own electronic records?
8. **Compliance:** How do you encourage/ensure compliance with the agency's records management schedules?
9. **E-Discovery:** Apart from managing electronic records generally, what are the unique challenges E-Discovery represents? Where do managers turn for guidance?
  - a. **E-Mail:** What should OGC/OCC be telling senior leadership, including the Office of the Chief Information Officer, about e-mail and e-discovery?
  - b. **FOIA:** What is the intersection between E-Discovery and FOIA?
  - c. **Effective Litigation Hold Process:** What are the necessary elements of such a process? How do you ensure compliance with litigation holds?

**End**

Message

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**From:** Blake, Wendy [/O=EXCHANGELABS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=902120F35D04482E86206D296AD452FC-BLAKE, WENDY]  
**Sent:** 3/22/2017 12:36:24 PM  
**To:** Kelly, Lynn [Kelly.Lynn@epa.gov]  
**Subject:** FW: Capstone Update

Wendy L. Blake  
Associate General Counsel  
General Law Office  
Office of General Counsel  
U.S. Environmental Protection Agency  
phone: (202) 564-1821  
fax: (202) 564-5433

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**From:** Moser, Rebecca  
**Sent:** Tuesday, March 21, 2017 7:07 PM  
**To:** Blake, Wendy <Blake.Wendy@epa.gov>; Miller, Kevin <Miller.Kevin@epa.gov>; Kelly, Lynn <Kelly.Lynn@epa.gov>  
**Cc:** Ellis, John <Ellis.john@epa.gov>; Johnston, Robert <Johnston.Robert@epa.gov>  
**Subject:** FW: Capstone Update

Wendy, Kevin & Lynn,

This is just for your information . . . EPA's Capstone application is making its way through the NARA review process. The email below provides the latest update – positive news so far.

Rebecca

Rebecca Moser, Director  
Office of Enterprise Information Programs (OEIP)  
Office of Environmental Information (OEI)  
U.S. Environmental Protection Agency  
Phone: 202-566-0252  
Fax: 202-566-1624

---

**From:** Ellis, John  
**Sent:** Tuesday, March 21, 2017 11:56 AM  
**To:** Jessica Blessman <jessica.blessman@nara.gov>  
**Cc:** Johnston, Robert <Johnston.Robert@epa.gov>; Moser, Rebecca <Moser.Rebecca@EPA.GOV>; OEI-OEIP-ERMD <OEI-OEIP-ERMD@epa.gov>; NRMP Contractor Staff <NRMP\_Contractor\_Staff@epa.gov>  
**Subject:** Re: Capstone Update

Thank you Jessica for the update. This is good news.

John B. Ellis, CRM  
EPA Records Officer

OEI, OEIP, ERMD  
Work: 202-566-1643  
Mobile: 202-657-3091

On Mar 21, 2017, at 11:46 AM, Jessica Blessman <[jessica.blessman@nara.gov](mailto:jessica.blessman@nara.gov)> wrote:

Good Morning,

Your NA-1005, capstone submission was returned from the Stakeholders with no additional comments. It is currently under review by management. If all goes well, we should be looking at approval by sometime next week.

Please call/email with any questions/concerns

Thank you,

***Jessica E. Blessman***

Records Analyst, Appraisal Team 3  
Records Management Services (ACRA)  
National Archives and Records Administration  
8601 Adelphi Road, Room 2200  
College Park, MD 20740-6001  
(301) 837-1676

Message

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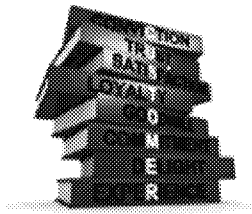
**From:** Virgille, Joanne [Virgille.Joanne@epa.gov]  
**Sent:** 7/13/2017 9:44:58 PM  
**To:** Carter-Jenkins, Shakeba [Carter-Jenkins.Shakeba@epa.gov]  
**Subject:** Capstone & Lotus Notes  
**Attachments:** Capstone Agency-wide memo 2017-07-10 final version rev 1 lek edits.docx; Capstone Powerpoint 2017-06-29 lek.pptx; Capstone FAQ 2017-07-10 lek.docx

Hi Shakeba,

As I promised you during our meeting earlier, these are the three communications pieces that the Capstone team is currently collecting comments on. This is just for your informational purposes. As I mentioned to you, I will be speaking with my Capstone POC, Robert Johnston, about Lotus Notes on Monday and I will definitely let you know what comes out of that. All three of us may possibly need to regroup after that. I will keep you posted.

Thank you,

Joanne Virgille  
Office of Environmental Information  
Office of Customer Advocacy, Policy & Portfolio Management  
Customer Advocacy & Communications Division  
WJC-W – 5318L  
[Virgille.Joanne@epa.gov](mailto:Virgille.Joanne@epa.gov)  
(202) 564-6438



**Everything starts with the customer!**

Let us know your experiences at [customer.experience@epa.gov](mailto:customer.experience@epa.gov)

The logo for Capstone, featuring the word "Capstone" in a serif font. The letter "C" is significantly larger and more stylized than the rest of the word, with a small dot above it. The letters "apstone" are in a smaller, standard serif font.

**A New Approach to Records Management**

## What is Capstone

- ▶ A new email records management system
- ▶ EPA is currently managing email records based on the content of the email and relies on you the user to save your email records
- ▶ Capstone uses a role-based approach that retains employees' emails for a specific period of time based on employees' positions
- ▶ Capstone **automatically** saves your emails
- ▶ Capstone diminishes the burden of managing email records, while facilitating records management throughout EPA

## Capstone Approach

- ▶ EPA's Capstone approach will include two retention categories for email records.
  - ▶ Permanent retention - Designated Capstone Officials who are generally responsible for Agency and program policy- and mission-related actions, and who send and receive emails of permanent value (Email records will be transferred to NARA when they are 15 years old.)
  - ▶ Temporary retention - Non-Capstone employees whose email records will be deleted after 10 years.



## Capstone Approach for Capstone Officials

- ▶ Under the Capstone approach, roles are broken down into two categories: Capstone Officials and non-Capstone employees.
- ▶ The list of EPA Capstone officials comprises approximately 110 designated senior official positions. EPA will update this list annually.
- ▶ After 90 days from the date an email is created or received, Capstone Officials' emails become permanent
- ▶ Records and are transferred to NARA when they become 15 years old.
- ▶ If you don't want an email saved you need to delete it yourself before 90 days

## Capstone Approach for Non-Capstone Employees

- ▶ After 90 days from the date an email is created or received, emails will automatically be saved
- ▶ Emails will be kept for 10 years and then deleted (unless subject to a litigation hold or other preservation obligation).
- ▶ If you don't want an email saved you need to delete it yourself before 90 days

## Preparing for Capstone Approach: Lotus Notes

- ▶ General access to Lotus Notes ceases on Dec. 31, 2017.
- ▶ You will not be able to access your email from within Lotus Notes after Dec. 31, 2017.
- ▶ Lotus emails from 2007 till February of 2013 will be automatically migrated and saved into outlook archive account
- ▶ Lotus emails prior to 2007 that need to be saved must be done by the user or will not be migrated.

If you have a Litigation Hold

- ▶ If you are subject to a litigation hold, OEI will migrate your entire Lotus Notes mailbox to Outlook, including emails older than 2007 (if applicable).

## Preparing Your Outlook Email for Capstone

- ▶ **Outlook emails starting from February 2013 (when we began using Microsoft outlook) will be automatically saved as records.**
- ▶ **Delete any junk mail, personal email or transitory records no longer needed.** (This process is known as "culling.")
- ▶ **Emails not subject to any preservation obligation:** You should delete emails that are not subject to any preservation obligations, such as mass mailers, news articles, PAVE announcements, or other emails that are not records.
- ▶ **Personal emails:** You should delete personal messages that are not relevant to EPA's work.

## Calendars

- ▶ **Does Capstone apply to calendars?**
- ▶ No, Capstone does not apply to calendars. Capstone Officials and other EPA Senior officials should continue saving their calendars into ECMS

## Summary - How Does Capstone Work

- ▶ Employees will have 90 days from the time an email was created or received to delete any junk mail, personal email or transitory records no longer needed. (This process is known as "culling.")
- ▶ After the 90-days culling period, emails will be kept for either ten years (for non-Capstone employees) or permanently (for Capstone Officials.)

## Summary - How Does Capstone Work?

- ▶ **Capstone Officials:**
  - ▶ After the 90-day culling period, emails will be kept permanently.
  - ▶ While in a Capstone position, users do not have to manually add records to the Enterprise Content Management System (ECMS).
  - ▶ After 2 years, emails will be automatically moved to an archive folder in the user's Outlook mailbox.
  - ▶ After 15 years, emails for the time period that the user was a Capstone Official will be transferred to NARA. Then all email older than 15 years will be deleted unless subject to a litigation hold or other preservation obligation.



## Summary - How Does Capstone Work?

### ► Non-Capstone employees:

- After the 90-day culling period, emails will be kept for ten years.
- If, according to EPA's records schedules an email record needs to be retained longer than 10 years, the user must save it in ECMS where it will be retained according to the approved records schedule. It is recommended that this be done as soon as possible after the email is received or created but it must be done within 2 years.
- After 2 years, emails will be automatically moved to an archive folder in the user's Outlook mailbox.
- After 10 years, the users' email will be deleted from the email system unless subject to a litigation hold or other preservation obligation.

## Briefings for the AO offices

For a briefing on Capstone for you Office:

Contact:

Lena Ferris  
Records Liaison officer  
Office of the Administrator  
202 564 8831  
[Ferris.lena@epa.gov](mailto:Ferris.lena@epa.gov)

Message

---

**From:** Murray, Paulette [Murray.Paulette@epa.gov]  
**Sent:** 2/23/2021 8:26:39 PM  
**To:** Carla Simms [carla.simms@nara.gov]; Deborah Gayle [deborah.gayle@nara.gov]  
**CC:** Ellis, John [Ellis.john@epa.gov]  
**Subject:** RE: K.Flaherty invite?

Good Afternoon Carla,

John and I finalizing our agenda for tomorrow's interagency meeting. We initially sent this email to Deborah and we realized that we should also send these questions to you.

We have two questions specifically about Capstone Implementation that are not addressed in the FAQ on archives.gov. In an effort to streamline tomorrow's discussion, we would like to share these via email in lieu of adding them to the agenda for tomorrow.

1. Can you confirm that calendars in Office 365 are covered by the Capstone schedule for EPA?
2. Is there a requirement for a Capstone Official to have a SF 50 that matches their position?

Thank you for your consideration!

Best Regards,

*Paulette Murray*

Sr. Records Information Management Specialist (RIMS)  
National Records Management Program (NRMP)  
Enterprise Records Management Division | Office of Mission Support  
US Environmental Protection Agency  
202-566-0354 | [murray.paulette@epa.gov](mailto:murray.paulette@epa.gov)

---

**From:** Carla Simms <carla.simms@nara.gov>  
**Sent:** Tuesday, February 23, 2021 3:11 PM  
**To:** Murray, Paulette <Murray.Paulette@epa.gov>  
**Cc:** Ellis, John <Ellis.john@epa.gov>  
**Subject:** Re: K.Flaherty invite?

It looks like Kate is in another meeting tomorrow at the same time. I did bring up the topic last week during our team meeting, since you're not the only agency with similar concerns, so she is aware. I can just relay any information back to her.

Thanks,  
Carla

On Tue, Feb 23, 2021 at 2:00 PM Murray, Paulette <[Murray.Paulette@epa.gov](mailto:Murray.Paulette@epa.gov)> wrote:

Good Afternoon Carla,

John and I are finalizing the agenda for tomorrow's meeting. This morning, Kevin DeVorseley invited his supervisor John Martinez to the meeting. Did you want to extend the invite to Kate?

Best Regards,

*Paulette Murray*

Sr. Records Information Management Specialist (RIMS)

National Records Management Program (NRMP)

Enterprise Records Management Division | Office of Mission Support

US Environmental Protection Agency

202-566-0354 | [murray.paulette@epa.gov](mailto:murray.paulette@epa.gov)

--

Thank you,  
Carla Simms  
Appraisal Team 3  
Records Management Operations (ACR3)  
National Archives and Records Administration  
(301) 837-1897

Message

---

**From:** Johnston, Robert [Johnston.Robert@epa.gov]  
**Sent:** 2/26/2019 11:58:28 PM  
**To:** Ellis, John [Ellis.john@epa.gov]  
**Subject:** FW: Litigation Hold Custodians for Capstone  
**Attachments:** 02-19-2019\_CustodianEmails.xlsx

FYI

Robert

"Nobody cares how much you know, until they know you care about them!" Zig Ziglar

---

Robert Johnston, Director, Enterprise Records Management Division | EPA Office of Mission Support  
1200 Pennsylvania Ave NW, MC 2821T (Mail) | 1301 Constitution Ave NW, Room 6312C (Courier) | Washington, DC 20460  
(P) 202-566-1637 | (C) Ex. 6 Personal Privacy (PP)

---

**From:** Stilp, Mark  
**Sent:** Tuesday, February 26, 2019 4:36 PM  
**To:** Capstone Changes <capstone\_changes@epa.gov>  
**Cc:** Moser, Rebecca <Moser.Rebecca@EPA.GOV>; Johnston, Robert <Johnston.Robert@epa.gov>; Thompson, BrianK <Thompson.BrianK@epa.gov>; Holland, Ramona <Holland.Ramona@epa.gov>; Hearn, Liza <Hearn.Liza@epa.gov>; Jones-Parra, Lisa <Jones-Parra.Lisa@epa.gov>; Cooper, Geoff <Cooper.Geoff@epa.gov>; Blake, Wendy <Blake.Wendy@epa.gov>  
**Subject:** Litigation Hold Custodians for Capstone

Hi All-

I am writing to provide the attached list of all litigation hold custodian email addresses.

Please let me know if you have any questions or concerns.

-Mark Stilp

Mark Stilp | Attorney-Advisor | Office of General Counsel | U.S. Environmental Protection Agency | 1200 Pennsylvania Ave.  
NW | Washington, DC 20460 | mail code: 2377A | office: 202.564.4845

---

**From:** Hearn, Liza  
**Sent:** Thursday, February 21, 2019 7:36 PM  
**To:** Jones-Parra, Lisa <Jones-Parra.Lisa@epa.gov>; Stilp, Mark <Stilp.Mark@epa.gov>  
**Cc:** Moser, Rebecca <Moser.Rebecca@EPA.GOV>; Johnston, Robert <Johnston.Robert@epa.gov>; Thompson, BrianK <Thompson.BrianK@epa.gov>; Holland, Ramona <Holland.Ramona@epa.gov>  
**Subject:** RE: CAPSTONE: Updating List of Employees on Lit Hold

This is the process we created for group management. We had previously agreed to monthly but we could do bi-weekly if necessary.

Liza

---

Liza Hearn  
Director  
Endpoint & Collaboration Solutions Division (ECSD)

ED\_006018\_00010434-00001

Office of IT Operations  
Office of Mission Support  
U.S. Environmental Protection Agency  
Phone: 202-566-0759  
Room: **Ex. 7(F)**

---

**From:** Jones-Parra, Lisa  
**Sent:** Thursday, February 21, 2019 6:35 PM  
**To:** Stilp, Mark <Stilp.Mark@epa.gov>  
**Cc:** Moser, Rebecca <Moser.Rebecca@EPA.GOV>; Johnston, Robert <Johnston.Robert@epa.gov>; Thompson, BrianK <Thompson.BrianK@epa.gov>; Hearn, Liza <Hearn.Liza@epa.gov>; Holland, Ramona <Holland.Ramona@epa.gov>  
**Subject:** RE: CAPSTONE: Updating List of Employees on Lit Hold

Hi Mark,

We do not have a set rule for the frequency but I believe **Ex. 5 Deliberative Process (DP)**  
Looping Liza and Ramona in case they have something to add. **Ex. 5 Deliberative Process (DP)**

## **Ex. 5 Deliberative Process (DP)**

**Ex. 5 Deliberative Process (DP)** So I rarely have an update to provide.

You have the correct email address for providing the list to Liza.

I think **Ex. 5 Deliberative Process (DP)**  
**Ex. 5 Deliberative Process (DP)**

Thanks!

Lisa

-----  
Lisa Jones-Parra  
Office of Enterprise Information Programs  
Office of Mission Support  
U.S. Environmental Protection Agency  
202-566-1157

---

**From:** Stilp, Mark  
**Sent:** Thursday, February 21, 2019 4:38 PM  
**To:** Jones-Parra, Lisa <Jones-Parra.Lisa@epa.gov>  
**Cc:** Moser, Rebecca <Moser.Rebecca@EPA.GOV>; Johnston, Robert <Johnston.Robert@epa.gov>; Thompson, BrianK <Thompson.BrianK@epa.gov>  
**Subject:** RE: CAPSTONE: Updating List of Employees on Lit Hold

Hi Lisa-

Yes, the Litigation Hold Action Team **Ex. 5 AC/DP**  
**Ex. 5 AC/DP**

Will Tuesday 2/26 suffice? **Ex. 5 AC/DP**

My notes from the December 3, 2018 Capstone meeting indicate that

**Ex. 5 AC/DP**

## **Ex. 5 AC/DP**

In August, I sent a list of lit hold custodian email addresses (which was current as of approx. 8/16/18) to Brian and Liza. I have another version that was current as of approximately mid-October, but I have not shared that October list with you all.

## **Ex. 5 AC/DP**

More recently, on about February 8, Brian Thompson and I discussed

**Ex. 5 Deliberative Process (DP)**

## **Ex. 5 Deliberative Process (DP)**

Thanks.

-Mark Stilp

Mark Stilp | Attorney-Advisor | Office of General Counsel | U.S. Environmental Protection Agency | 1200 Pennsylvania Ave. NW | Washington, DC 20460 | mail code: 2377A | office: 202.564.4845

---

**From:** Jones-Parra, Lisa

**Sent:** Thursday, February 21, 2019 3:46 PM

**To:** Stilp, Mark <Stilp.Mark@epa.gov>

**Cc:** Moser, Rebecca <Moser.Rebecca@EPA.GOV>; Johnston, Robert <Johnston.Robert@epa.gov>; Thompson, BrianK <Thompson.BrianK@epa.gov>

**Subject:** RE: CAPSTONE: Updating List of Employees on Lit Hold

**Importance:** High

Hi Mark,

Can you confirm that there is at least a manual work-around for updating the list of lit-hold employees emails?

Thanks

Lisa

-----

Lisa Jones-Parra

Office of Enterprise Information Programs

Office of Mission Support

U.S. Environmental Protection Agency

202-566-1157

---

**From:** Jones-Parra, Lisa

**Sent:** Tuesday, February 19, 2019 2:55 PM

**To:** Thompson, BrianK <Thompson.BrianK@epa.gov>; Stilp, Mark <Stilp.Mark@epa.gov>

**Cc:** Rebecca Moser <Moser.Rebecca@epa.gov>; Robert Johnston <Johnston.Robert@epa.gov>

**Subject:** CAPSTONE: Updating List of Employees on Lit Hold

**Importance:** High

Hello Brian and Mark,

With Capstone implementation slated for March 1<sup>st</sup>, I want to

Ex. 5 Deliberative Process (DP)

Ex. 5 Deliberative Process (DP)

Thanks

Lisa

-----

Lisa Jones-Parra

Office of Enterprise Information Programs

Office of Mission Support

U.S. Environmental Protection Agency

202-566-1157

---

**From:** Thompson, BrianK

**Sent:** Friday, February 8, 2019 9:18 AM

**To:** Jones-Parra, Lisa <[Jones-Parra.Lisa@epa.gov](mailto:Jones-Parra.Lisa@epa.gov)>; Stilp, Mark <[Stilp.Mark@epa.gov](mailto:Stilp.Mark@epa.gov)>

**Subject:** RE: Capstone Meeting Currently Scheduled for Monday February 11th

Lisa and Mark:

I think this is something we do need to coordinate and work on

Ex. 5 Deliberative Process (DP)

## Ex. 5 Deliberative Process (DP)

Given that we will not have the SharePoint site operational until well after March 1<sup>st</sup> and likely not in time for an April 1<sup>st</sup> update to Liza, we will need to

Ex. 5 Deliberative Process (DP)

## Ex. 5 Deliberative Process (DP)

**Mark** – I will give you a call later today to discuss.

**Lisa** – Mark and I will loop back with you later today if there are any looming concerns. However, I think we can safely go-ahead and cancel Monday's Capstone call.

-Brian

---

**Brian K. Thompson | Acting Director**

eDiscovery Division

U.S. Environmental Protection Agency, Headquarters | OMS, Office of Enterprise Information Programs

| office: (202) 564-4256 | cell: Ex. 6 Personal Privacy (PP) | e-mail: [Thompson.BrianK@epa.gov](mailto:Thompson.BrianK@epa.gov)

Please email [eDAT@epa.gov](mailto:eDAT@epa.gov) for questions or help on search requests

Please email [Relativitysupport@epa.gov](mailto:Relativitysupport@epa.gov) for all Relativity-based inquiries or requests

Please email [eDiscovery@epa.gov](mailto:eDiscovery@epa.gov) for all general eDiscovery requests



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**From:** Jones-Parra, Lisa  
**Sent:** Thursday, February 07, 2019 9:43 AM  
**To:** Stilp, Mark <Stilp.Mark@epa.gov>  
**Cc:** Thompson, BrianK <Thompson.BrianK@epa.gov>  
**Subject:** FW: Capstone Meeting Currently Scheduled for Monday February 11th

Hi Mark,

I want to check with you regarding the updates for Lit Hold email addresses. It is my understanding that you already provided the initial complete list of lit hold email addresses to Liza.

**Ex. 5 Deliberative Process (DP)**

**Ex. 5 Deliberative Process (DP)**

**Ex. 5 Deliberative Process (DP)**

If you think it would be helpful to have everyone around the table, I could keep the meeting but I would like to know today if possible.

Thanks

Lisa

-----

Lisa Jones-Parra  
Office of Enterprise Information Programs  
Office of Mission Support  
U.S. Environmental Protection Agency  
202-566-1157

---

**From:** Jones-Parra, Lisa  
**Sent:** Wednesday, February 6, 2019 5:18 PM  
**To:** Blake, Wendy <Blake.Wendy@epa.gov>; Hearn, Liza <Hearn.Liza@epa.gov>; Holland, Ramona <Holland.Ramona@epa.gov>; Johnston, Robert <Johnston.Robert@epa.gov>; Kelly, Lynn <Kelly.Lynn@epa.gov>; Miller, Kevin <Miller.Kevin@epa.gov>; Moser, Rebecca <Moser.Rebecca@EPA.GOV>; Stilp, Mark <Stilp.Mark@epa.gov>; Thompson, BrianK <Thompson.BrianK@epa.gov>  
**Subject:** Capstone Meeting Currently Scheduled for Monday February 11th

Hello everyone,

I was wondering if anyone has a need to meet this coming Monday. From my perspective we are ready but don't want to assume anything.

Please let me know by COB Thursday. I plan to cancel the meeting Friday morning unless there is a need to meet.

Thanks

Lisa

-----

Lisa Jones-Parra  
Office of Enterprise Information Programs  
Office of Mission Support  
U.S. Environmental Protection Agency  
202-566-1157

Message

---

**From:** Johnston, Robert [Johnston.Robert@epa.gov]  
**Sent:** 1/22/2018 1:12:31 PM  
**To:** Ellis, John [Ellis.john@epa.gov]  
**CC:** Rutsala, Katherine [Rutsala.Katherine@epa.gov]  
**Subject:** RE: Updates needed to Capstone Officials list

Thanks

Robert

"Nobody cares how much you know, until they know you care about them!" Zig Ziglar

---

Robert Johnston, Director, Enterprise Records Management Division | EPA Office of Environmental Information  
1200 Pennsylvania Ave NW, MC 2821T (Mail) | 1301 Constitution Ave NW, Room 6143H (Courier) | Washington, DC 20460  
(P) 202-566-1637 | (C) Ex. 6 Personal Privacy (PP)

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**From:** Ellis, John  
**Sent:** Monday, January 22, 2018 8:11 AM  
**To:** Johnston, Robert <Johnston.Robert@epa.gov>  
**Cc:** Rutsala, Katherine <Rutsala.Katherine@epa.gov>  
**Subject:** Re: Updates needed to Capstone Officials list

Feb. 2th

John B. Ellis, CRM  
EPA Records Officer  
OEI, OEIP, ERMD  
Work: 202-566-1643  
Mobile: Ex. 6 Personal Privacy (PP)

On Jan 22, 2018, at 7:33 AM, Johnston, Robert <[Johnston.Robert@epa.gov](mailto:Johnston.Robert@epa.gov)> wrote:

Is there a due date that I missed?

Robert

"Nobody cares how much you know, until they know you care about them!" Zig Ziglar

---

Robert Johnston, Director, Enterprise Records Management Division | EPA Office of Environmental Information  
1200 Pennsylvania Ave NW, MC 2821T (Mail) | 1301 Constitution Ave NW, Room 6143H (Courier) | Washington, DC 20460  
(P) 202-566-1637 | (C) Ex. 6 Personal Privacy (PP)

---

**From:** Records  
**Sent:** Friday, January 19, 2018 3:10 PM  
**Subject:** Updates needed to Capstone Officials list  
**Importance:** High

All -

Attached is a current list of Capstone Officials with email addresses. Since our last approval of the list by NARA, the list may need to be updated because of title changes or reorganizations. NRMP needs your input to update the list of Capstone Official position titles,

prior to sending it to NARA for approval. Please respond by returning your updated spreadsheet to [records@epa.gov](mailto:records@epa.gov) by February 2, 2018. If you have additional questions or comments please include them in your email.

**Do not delete anything from the list, you'll just be adding new information where needed.**

Please review your section of the list and:

1. Confirm that each position title is correct.

a. If the position title is incorrect, enter the correct position title under the current one.

b. Under the new position "new position title".

Note: You are not to add new positions unless they are equivalent to another Capstone Official position in the Agency that was previously approved. Simply update/correct if a position title has been changed, but the essential functions of the position have not been changed.

2. Confirm that the names/email addresses are correct.

a. If a change is required enter the correct name and email address under the existing one.

b. In the comments field enter "new name/email".

c. If a current Capstone Official has been removed from the Capstone position add the date the Capstone Official's position ended in the End Date column.

d. Enter the Start Date in the start date column for each new and current Capstone Official.

Please contact the NRMP Help Desk if you have any questions.

Thank you.

Sent on behalf of John B. Ellis, Agency Records Officer

U.S. EPA National Records Management Program

Help Desk: 202-566-1494 or [records@epa.gov](mailto:records@epa.gov)

Ex. 6 Personal Privacy (PP) (EPA only)

Message

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**From:** Rutsala, Katherine [Rutsala.Katherine@epa.gov]  
**Sent:** 1/24/2018 3:39:32 PM  
**To:** Ellis, John [Ellis.john@epa.gov]  
**CC:** Johnston, Robert [Johnston.Robert@epa.gov]  
**Subject:** Draft Capstone implementation communications  
**Attachments:** DRAFT email announcement non-Capstone SO.docx; Draft email Capstone implementation IMO SIO.docx; Draft email Capstone implementation 1st line supervisors.docx; Draft Capstone implementation announcement - simple.docx

Please see attached, as requested, draft:

1. Announcement of the implementation date – simple communication
2. Announcement of the implementation date for non-Capstone Senior Officials
3. Announcement of the implementation date for first line supervisors
4. Announcement of the implementation date for IMOs SIOs

Katherine Rutsala  
Project Manager, Arctic Slope Mission Services  
Providing contract support to EPA's  
National Records Management Program  
202-566-0169  
Help Desk: 202-566-1494 or  
[records@epa.gov](mailto:records@epa.gov)

**Ex. 6 Personal Privacy (PP)**

Message

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**From:** Rutsala, Katherine [Rutsala.Katherine@epa.gov]  
**Sent:** 1/25/2018 8:09:34 PM  
**To:** Ellis, John [Ellis.john@epa.gov]  
**Subject:** RE: Any update on mass mailer?  
**Attachments:** Final Draft Mass Mailer Capstone implementation announcement\_rj\_kr.docx

Here's the updated version.

Katherine Rutsala  
Project Manager, Arctic Slope Mission Services  
Providing contract support to EPA's  
National Records Management Program  
202-566-0169  
Help Desk: 202-566-1494 or  
records@epa.gov

Ex. 6 Personal Privacy (PP)

---

**From:** Ellis, John  
**Sent:** Thursday, January 25, 2018 3:08 PM  
**To:** Rutsala, Katherine <Rutsala.Katherine@epa.gov>  
**Subject:** FW: Any update on mass mailer?

Let me know when you're done so I can send it to Lisa.

---

**From:** Jones-Parra, Lisa  
**Sent:** Thursday, January 25, 2018 2:38 PM  
**To:** Ellis, John <Ellis.john@epa.gov>; Johnston, Robert <Johnston.Robert@epa.gov>  
**Subject:** Any update on mass mailer?

Hi,

I am wondering if we are close to having something that we can send to everyone for review/comment. Also, update on the PowerPoint? Please let me know how and if I can help!!!

Thanks

Lisa

-----

Lisa Jones-Parra  
Senior Advisor to the Acting Chief Information Officer  
Office of Environmental Information  
U.S. Environmental Protection Agency  
Desk: (202) 566-1157  
Cell: Ex. 6 Personal Privacy (PP)

Message

---

**From:** Rutsala, Katherine [Rutsala.Katherine@epa.gov]  
**Sent:** 3/19/2018 4:57:12 PM  
**To:** Ellis, John [Ellis.john@epa.gov]  
**CC:** Johnston, Robert [Johnston.Robert@epa.gov]  
**Subject:** RE: Will employees have 90 days once Capstone is implemented to delete existing emails?

John,

You asked if I could try to clarify the question – here's what I came up with:

Scenario:

June 1, 2018 – Capstone approach is implemented

- 1.
- 2.
- 3.

## Ex. 5 Deliberative Process (DP)

Katherine Rutsala  
Project Manager, Arctic Slope Mission Services  
Providing contract support to EPA's  
National Records Management Program  
202-566-0169  
Help Desk: 202-566-1494 or  
records@epa.gov

### Ex. 6 Personal Privacy (PP)

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**From:** Ellis, John  
**Sent:** Monday, March 19, 2018 10:40 AM  
**To:** Rutsala, Katherine <Rutsala.Katherine@epa.gov>  
**Subject:** FW: Will employees have 90 days once Capstone is implemented to delete existing emails?

These are the responses that I have gotten from Liza Hearn. But still don't think the question is answered. Do you?

---

**From:** Hearn, Liza  
**Sent:** Monday, March 19, 2018 10:37 AM  
**To:** Ellis, John <Ellis.john@epa.gov>  
**Subject:** RE: Will employees have 90 days once Capstone is implemented to delete existing emails?

Immediately after we implement Capstone. So if I have something that is 6 months old and I try to delete it after we implement Capstone, it will look like I delete it but it will actually be held (for 10 years)

Liza

---

Liza Hearn  
Director  
Endpoint and Collaboration Solutions Division  
Office of IT Operations  
Office of Environmental Information  
Location: Ex. 6 Personal Privacy (PP)  
Phone: 202-566-0759

---

**From:** Ellis, John  
**Sent:** Monday, March 19, 2018 10:35 AM  
**To:** Hearn, Liza <[Hearn.Liza@epa.gov](mailto:Hearn.Liza@epa.gov)>  
**Subject:** RE: Will employees have 90 days once Capstone is implemented to delete existing emails?

So, I guess what folks want to know is, when will the 90 days to delete take affect?

---

**From:** Hearn, Liza  
**Sent:** Monday, March 19, 2018 10:31 AM  
**To:** Ellis, John <[Ellis.john@epa.gov](mailto:Ellis.john@epa.gov)>  
**Subject:** RE: Will employees have 90 days once Capstone is implemented to delete existing emails?

The 90 days is determine by the date of the email (sent or received) not by when we implement Capstone.

Liza

---

Liza Hearn  
Director  
Endpoint and Collaboration Solutions Division  
Office of IT Operations  
Office of Environmental Information  
Location: Ex. 6 Personal Privacy (PP)  
Phone: 202-566-0759

---

**From:** Ellis, John  
**Sent:** Monday, March 19, 2018 10:21 AM  
**To:** Hearn, Liza <[Hearn.Liza@epa.gov](mailto:Hearn.Liza@epa.gov)>  
**Subject:** FW: Will employees have 90 days once Capstone is implemented to delete existing emails?

Liza,  
Can you clarify the answer to this question:

Will employees have 90 days once Capstone is implemented to delete existing emails? Or when capstone is implemented employees will have up to 90 days to delete, based on the date of the email. Ie., Based on the date of the Email, if it is 80 days old when Capstone is implemented the employee will have 10 days to delete.

If Email is already over 90days old when Capstone is implemented, they cannot be deleted. Correct?

John B. Ellis, CRM  
EPA Records Officer



Office of Environmental Information (OEI)  
Office of Enterprise Information Programs (OEIP)  
Enterprise Records Management Division (ERMD)  
1301 Constitution Ave., NW, Washington, DC  
William Jefferson Clinton West Building  
Mail Code 2822T, Washington, DC 20460  
Phone: 202-566-1643, Mobile: Ex. 6 Personal Privacy (PP)

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**From:** Records

**Sent:** Monday, March 19, 2018 9:59 AM

**To:** Ellis, John <[Ellis.john@epa.gov](mailto:Ellis.john@epa.gov)>; Johnston, Robert <[Johnston.Robert@epa.gov](mailto:Johnston.Robert@epa.gov)>

**Subject:** Fw: Will employees have 90 days once Capstone is implemented to delete existing emails?

Another Capstone details question.

Thank you.

Sent on behalf of John B. Ellis, Agency Records Officer

U.S. EPA National Records Management Program

Help Desk: 202-566-1494 or [records@epa.gov](mailto:records@epa.gov)

Ex. 6 Personal Privacy (PP) (EPA only)

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**From:** Jackson, Suzanne

**Sent:** Monday, March 19, 2018 9:03 AM

**To:** Records

**Subject:** Will employees have 90 days once Capstone is implemented to delete existing emails?

Will employees have 90 days once Capstone is implemented to delete existing emails?

Thanks,  
Suzanne

**Suzanne Jackson**

Program Analyst / Records Liaison Officer

US EPA, ORD, NRMRL

513-569-7310

[jackson.suzanne@epa.gov](mailto:jackson.suzanne@epa.gov)

Message

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**From:** Johnston, Robert [Johnston.Robert@epa.gov]  
**Sent:** 3/20/2018 10:19:15 AM  
**To:** Ellis, John [Ellis.john@epa.gov]; Rutsala, Katherine [Rutsala.Katherine@epa.gov]  
**CC:** OEI-OEIP-ERMD [OEI-OEIP-ERMD@epa.gov]  
**Subject:** FW: Note to SIOs Regarding Capstone Implementation

John,

Please make sure

**Ex. 5 Deliberative Process (DP)**

## **Ex. 5 Deliberative Process (DP)**

Thanks,

Robert

"Nobody cares how much you know, until they know you care about them!" Zig Ziglar

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Robert Johnston, Director, Enterprise Records Management Division | EPA Office of Environmental Information  
1200 Pennsylvania Ave NW, MC 2821T (Mail) | 1301 Constitution Ave NW, Room 6143H (Courier) | Washington, DC 20460  
(P) 202-566-1637 | (C) [Ex. 6 Personal Privacy \(PP\)](#)

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**From:** Jones-Parra, Lisa **On Behalf Of** Fine, Steven  
**Sent:** Monday, March 19, 2018 5:08 PM  
**To:** SIOs <SIOs@epa.gov>  
**Subject:** Note to SIOs Regarding Capstone Implementation

Colleagues,

As you can see in the mass mailer below, we are tentatively planning to implement Capstone this summer. I wanted to send you this short note to inform you that we have been in contact with program and regional [Records Liaison Officers \(RLOs\)](#) about the implementation of this email records management approach. We will be relying on RLOs and their supervisors to help us communicate, train, implement and support Capstone. The list below includes some of the tasks that we will be expecting from them:

- Keeping the list of your program or regional Capstone Officials up to date. We will provide them with guidance on how to do that.
- Providing training and answering questions from staff about how Capstone works, depending on their roles. We will provide them with guidance on how to do that.
- Providing information on email records schedules with a retention longer than 10 years and how to save those records using the EZ Email Records tool.
- Reminding staff about deadlines (90 days for deletions; two-year limit to save in EZ Email, etc.)

Each Program Office or Region can determine the best way to provide the information and training to employees. OEI will be distributing materials agency-wide via email and web, but to help ensure employees smoothly transition into Capstone please consider providing in-person training opportunities. RLOs will be provided with training materials.

I will also reach out to you prior to implementation to request your assistance with confirming the names of former and current Capstone Officials and collecting their email addresses and dates of service while in Capstone Official positions.

If you have any questions about these responsibilities, please contact [Robert Johnston](#) at 202-566-1637 or [John Ellis](#) at 202-566-1643.

Thank you in advance for your support

Steve

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**From:** MassMailer  
**Sent:** Wednesday, February 28, 2018 12:37 PM  
**To:** MassMailer <[massmailer@epa.gov](mailto:massmailer@epa.gov)>  
**Subject:** Update: Capstone Implementation Announcement



Due to a broken bookmark link in the original message, we are resending this mass mailer. The hyperlink to the "[How should I prepare for Capstone?](#)" section now works correctly.

**Message from:** Steve Fine, Deputy Chief Information Officer

Dear Colleagues,

I am pleased to announce that the agency has been working hard toward implementation of Capstone – the new email records management approach. We currently anticipate implementing Capstone in **June 2018**. As mentioned in previous [communications](#), Capstone uses a role-based approach that retains employees' emails for a specific period of time based on the employees' position. For actions to help prepare for Capstone, please see the "[How should I prepare for Capstone?](#)" section below.

Capstone will diminish the burden of managing email records while facilitating records management throughout EPA. The National Archives and Records Administration (NARA) approved EPA's Capstone application, and the agency is implementing Capstone consistent with NARA's [recommendations](#). Under the Capstone approach, roles are broken down into two categories: Capstone Officials and non-Capstone employees. The list of [EPA's Capstone Officials](#) comprises 108 designated senior official positions. EPA will update this list annually and send revisions to NARA.

Agency employees will have 90 days from the date an email is created or received to delete any junk mail or personal email. [Transitory records](#) should also be deleted within 90 days if no longer needed (this process is known as "culling"). After the 90-day culling period, Capstone Officials' emails are saved as permanent records and are transferred to NARA when they become 15 years old. Emails of non-Capstone employees will be kept for 10 years and then deleted (unless subject to a litigation hold or other preservation obligation).

If, according to EPA's records schedules, an email record of a non-Capstone employee must be retained longer than 10 years, the email is considered to be an exception, and the employee must save that email in the Enterprise Content Management System (ECMS) using the [EZ Email Records Tool](#). Since employees will only need to use the EZ Email Records tool for those records that must be retained more than 10 years, they will spend significantly less time managing email records.

The retention schedule for Superfund related records is longer than 10 years. At a later time, employees with Superfund related emails will receive guidance to move those records into the Superfund Enterprise Management System (SEMS). We are in the process of developing a technical solution to move records between Outlook and SEMS. In the meantime, these emails will be retained in Outlook. The Office of Land and Emergency Management (OLEM) will provide additional guidance related to preparing Superfund related email records in Outlook sometime during summer 2018.

**As a reminder, until Capstone begins, employees should continue handling email they are sending and receiving in Outlook per current records management policies and procedures.** Here are additional steps employees can take to prepare for the transition.

### **How should I prepare for Capstone?**

We appreciate the effort you took to prepare your Lotus Notes email for migration to Outlook and eventual Capstone implementation. It is now time to focus attention to preparing your Outlook mailbox. Below are some actions you need to take before implementation.

- **For non-Capstone employees, email records with a retention longer than 10 years:** Non-Capstone employees must save emails that are subject to a retention schedule that exceeds 10 years in ECMS (does not apply to Superfund-related emails as explained above). The links at the end of this email provide additional information.
- **Emails subject to litigation hold:** You must continue to retain emails that are subject to a litigation hold or other preservation obligation in your email box. You should not delete any emails subject to litigation holds or other obligations, regardless of their record status.  
You should have received an email notice from the issuing attorney notifying you of the existence and scope of any litigation holds. EPA will continue to retain emails from individuals identified as subject to litigation holds after the Capstone retention date.  
Litigation holds are legal obligations. If you have any questions about your litigation hold obligations, contact the EPA case attorney who issued the litigation hold. If you have technical questions, please contact [eDiscovery@epa.gov](mailto:eDiscovery@epa.gov) for technical support.
- **Emails subject to an official information request (such as a pending or recently closed FOIA request or appeal):** If you have emails concerning or responsive to a pending FOIA request, a recently closed FOIA request (within 90 days), or a FOIA appeal, you must continue to retain those emails. If you have questions related to FOIA records, please contact the EPA employee or program office that is coordinating the FOIA response.
- **Emails not subject to any preservation obligation:** You should delete emails that are not subject to any preservation obligations such as mass mailers, news articles, PAVE announcements, or other emails that are not records.
- **Personal emails:** You should delete personal messages that are not relevant to EPA's work.

For more information, see:

- [Information on what constitutes a record.](#)
- [A retention matrix listing the records schedules that exceed 10 years.](#)
- [How to save Outlook email records in ECMS.](#)
- [FAQs on email and records.](#)
- [List of EPA's Capstone Officials.](#)
- [FAQ on Capstone Email and Records.](#)

We will keep you informed as we prepare for Capstone implementation. If you have any questions, please contact the following subject matter experts:

- [Robert Johnston](#), Director, Enterprise Records Management Division, 202-566-1637
- [John Ellis](#), EPA Records Officer, 202-566-1643
- [Records Help Desk](#), 202-566-1494
- [Jennifer Sutton](#), OLEM (for questions regarding Superfund-related records), 703-603-8718

Thank you,  
Steve

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You're receiving this message because you're a member of the **Capstone** group. If you don't want to receive any messages or events from this group, **stop following it in your inbox**.

[View group conversations](#) | [View group files](#)

Message

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**From:** Rutsala, Katherine [Rutsala.Katherine@epa.gov]  
**Sent:** 4/4/2018 1:46:51 PM  
**To:** Ellis, John [Ellis.john@epa.gov]  
**CC:** Capriccioso, David [Capriccioso.David@epa.gov]; Felton, Barbara [Felton.Barbara@epa.gov]; Kim, Soo [kim.soo@epa.gov]  
**Subject:** Draft Records Management Policy 2018 jbe kr  
**Attachments:** Draft Records Management Policy 2018 jbe kr.docx

John,

I made a few changes – they are tracked.

Katherine Rutsala  
Project Manager, Arctic Slope Mission Services  
Providing contract support to EPA's  
National Records Management Program  
202-566-0169  
Help Desk: 202-566-1494 or  
records@epa.gov

**Ex. 6 Personal Privacy (PP)**

Message

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**From:** Records [Records@epa.gov]  
**Sent:** 5/18/2018 5:59:40 PM  
**Subject:** EPA Capstone 101 PowerPoint  
**Attachments:** Capstone 101 Powerpoint 20180518.pdf

All,

Please see the attached Capstone 101 PowerPoint presentation. The PowerPoint is being prepared for posting on the intranet, but NRMP wanted you to have it as soon as possible. We'll send the intranet link as soon as its available.

Please share with program and regional staff and continue to encourage staff to clean-up non-record email from Outlook.

Thank you.

Sent on behalf of John B. Ellis, Agency Records Officer

U.S. EPA National Records Management Program  
Help Desk: 202-566-1494 or records@epa.gov

Ex. 6 Personal Privacy (PP) (EPA only)

Message

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**From:** Kelly, Lynn [Kelly.Lynn@epa.gov]  
**Sent:** 8/17/2017 6:18:05 PM  
**To:** Virgille, Joanne [Virgille.Joanne@epa.gov]; Rutsala, Katherine [Rutsala.Katherine@epa.gov]; Ellis, John [Ellis.john@epa.gov]; Hearn, Liza [Hearn.Liza@epa.gov]; Johnston, Robert [Johnston.Robert@epa.gov]  
**CC:** Hammitt, Jennifer [Hammitt.Jennifer@epa.gov]  
**Subject:** RE: Updated version added to SharePoint RE: First Agency-wide Communication about Capstone  
**Attachments:** Capstone Agency-wide memo 2017-8-10 LH\_RJ comments (002) je kr JV LEK JH.docx

Jennifer did not have access to the SharePoint site, so here is a version reflecting both of our comments. There should not be more OGC comments on this before Monday if folks want to review this and provide feedback on whether there are issues with any of these recommended edits. Thank you!

**Lynn Kelly** | US EPA | Office of General Counsel | 1200 Pennsylvania Ave., NW | WJC North, Mail Code 2377A | Washington, DC 20460 | phone: (202) 564-3266

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**From:** Kelly, Lynn  
**Sent:** Thursday, August 17, 2017 1:26 PM  
**To:** Virgille, Joanne <Virgille.Joanne@epa.gov>; Rutsala, Katherine <Rutsala.Katherine@epa.gov>; Ellis, John <Ellis.john@epa.gov>; Hearn, Liza <Hearn.Liza@epa.gov>; Johnston, Robert <Johnston.Robert@epa.gov>  
**Cc:** Hammitt, Jennifer <Hammitt.Jennifer@epa.gov>  
**Subject:** RE: Updated version added to SharePoint RE: First Agency-wide Communication about Capstone

Thanks Joanne,

I have reviewed the document and added edits, and my colleague here in OGC Jennifer Hammitt is also going to review before Monday, using the SharePoint version you noted below.

## Ex. 5 Deliberative Process (DP)

OGC would like to be involved in conversations **Ex. 5 Deliberative Process (DP)**

## Ex. 5 Deliberative Process (DP)

**Ex. 5 Deliberative Process (DP)** Thanks!

**Lynn Kelly** | US EPA | Office of General Counsel | 1200 Pennsylvania Ave., NW | WJC North, Mail Code 2377A | Washington, DC 20460 | phone: (202) 564-3266



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**From:** Virgille, Joanne

**Sent:** Wednesday, August 16, 2017 3:10 PM

**To:** Rutsala, Katherine <Rutsala.Katherine@epa.gov>; Kelly, Lynn <Kelly.Lynn@epa.gov>; Ellis, John <Ellis.john@epa.gov>; Hearn, Liza <Hearn.Liza@epa.gov>; Johnston, Robert <Johnston.Robert@epa.gov>

**Subject:** RE: Updated version added to SharePoint RE: First Agency-wide Communication about Capstone

Good afternoon,

Please find the latest version of the memo with my edits in Track Changes. I have also placed it on the SharePoint site, with my initials at the very end. Aside from the minor edits, my only concern

Ex. 5 Deliberative Process (DP)

## Ex. 5 Deliberative Process (DP)

Ex. 5 Deliberative Process (DP)

Please, let me know if

you have any additional questions or concerns.

Thank you,

Joanne Virgille  
OEI/OCAPPM/CACD  
(202) 564-6438  
[virgille.joanne@epa.gov](mailto:virgille.joanne@epa.gov)

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**From:** Rutsala, Katherine

**Sent:** Thursday, August 10, 2017 11:41 AM

**To:** Kelly, Lynn <Kelly.Lynn@epa.gov>; Ellis, John <Ellis.john@epa.gov>; Virgille, Joanne <Virgille.Joanne@epa.gov>; Hearn, Liza <Hearn.Liza@epa.gov>; Johnston, Robert <Johnston.Robert@epa.gov>

**Subject:** Updated version added to SharePoint RE: First Agency-wide Communication about Capstone

All -

I've added edits requested yesterday to the last version and posted it on SharePoint:

## Ex. 6 Personal Privacy (PP) Sharepoint Link

Please let me know if you have any questions. Ex. 6 Personal Privacy (PP)

Katherine Rutsala  
Project Manager, Arctic Slope Mission Services  
Providing contract support to EPA's  
National Records Management Program  
202-566-0169  
Help Desk: 202-566-1494 or  
[records@epa.gov](mailto:records@epa.gov)

Ex. 6 Personal Privacy (PP)

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**From:** Kelly, Lynn

**Sent:** Wednesday, August 09, 2017 5:28 PM

**To:** Ellis, John <Ellis.John@epa.gov>; Virgille, Joanne <Virgille.Joanne@epa.gov>; Hearn, Liza <Hearn.Liza@epa.gov>; Johnston, Robert <Johnston.Robert@epa.gov>; Rutsala, Katherine <Rutsala.Katherine@epa.gov>

**Subject:** RE: First Agency-wide Communication about Capstone

Hi Folks,

I wanted to apologize for rudely dropping off the call earlier for an emergency. I would really like an opportunity to do a close read of the mailbox preparation language and the mailer as a whole before it is circulated to the broader audience. I assume there is/was a plan to do so, just wanted to communicate that and again apologize for not being able to stay on for the whole call. Please let me know if I should look for the next version on SharePoint or by email. Thanks!

**Lynn Kelly** | US EPA | Office of General Counsel | 1200 Pennsylvania Ave., NW | WJC North, Mail Code 2377A | Washington, DC 20460 | phone: (202) 564-3266

The contents of this e-mail and any attachments to it may contain deliberative-process, attorney-client, attorney work product, or otherwise privileged material. If you are not the intended recipient, or believe you have received this communication in error, please delete the copy you received, and do not print, copy, retransmit, disseminate, or otherwise use the information. Thank you.

-----Original Appointment-----

**From:** Ellis, John

**Sent:** Tuesday, August 08, 2017 2:59 PM

**To:** Ellis, John; Virgille, Joanne; Kelly, Lynn; Hearn, Liza; Johnston, Robert; Rutsala, Katherine

**Subject:** First Agency-wide Communication about Capstone

**When:** Wednesday, August 09, 2017 4:00 PM-5:00 PM (UTC-05:00) Eastern Time (US & Canada).

**Where:**

**Ex. 7(F)**

Ex. 6 Personal Privacy (PP) Conference Call Line

Message

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**From:** Rutsala, Katherine [Rutsala.Katherine@epa.gov]  
**Sent:** 11/7/2017 8:53:20 PM  
**To:** Ellis, John [Ellis.john@epa.gov]; Johnston, Robert [Johnston.Robert@epa.gov]  
**CC:** Felton, Barbara [Felton.Barbara@epa.gov]  
**Subject:** Background on calendar discussion

John, Robert –

I pulled #27 from the FAQ and a section of GRS 6.1 that discuss calendars:

From NARA FAQ:

27. Does this GRS include calendars, appointments, tasks, chat transcripts, and other communications? Although we designed the Capstone approach for managing email records, some agencies may not be able to separate email records from other affiliated records, such as calendars, appointments, tasks, and chats. In these cases, the agency can include the other records under the Capstone GRS. Inclusion of these records with email accounts should be noted on the NA-1005 in the scope field. However, when the agency manages these other records separately from email, the agency must have a NARA-approved disposition authority for Capstone officials (those whose email is permanent). GRS 5.1, item 010, covers calendars of non-Capstone officials. Chats, however, must be scheduled for both Capstone and non-Capstone officials.

From GRS 6.1

GRS Scope

Email can be managed at an account level, at a mailbox level, in personal folder files, or other ways. This GRS applies to all email, regardless of how the email messages are managed or what email technology is used. Email, in the context of this GRS, also includes any associated attachments. This GRS may apply to records affiliated with other commonly available functions of email programs such as calendars/appointments, tasks, and chat.

Each agency is responsible for determining the scope of implementation when using Capstone, including, 1) The range of implementation in an organization (agency-wide, specific office, etc.); and 2) The range of implementation regarding email technology and system platforms. Brief information on the scope of an agency's Capstone implementation is also required on NA-1005.

Agencies are also responsible for defining (and documenting through policy) the official recordkeeping version of email to be managed under a Capstone approach, especially when email is captured or retained in multiple locations (e.g., an email archive vs. the live system). All other versions of email can be considered nonrecord, the retention of which should be addressed in agency email policy.

Agencies are expected to apply documented selection criteria to cull the email of Capstone officials (permanent accounts) to the greatest extent possible before transfer to NARA. Culling refers to the removal – or otherwise excluding from capture – of nonrecord, personal, or transitory messages and attachments. Culling typically includes the removal of spam, email blasts received (such as agency-wide communications), and personal materials (such as emails to family members not related to agency business). Culling may be manual, automated, or a hybrid of both. Agencies may develop their own policies and procedures for the culling of temporary accounts.

Katherine Rutsala  
Project Manager, Arctic Slope Mission Services  
Providing contract support to EPA's  
National Records Management Program  
202-566-0169  
Help Desk: 202-566-1494 or

records@epa.gov

**Ex. 6 Personal Privacy (PP)**

Message

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**From:** Ellis, John [/O=EXCHANGELABS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=552842B807CD4378984C265F9D21CC8C-JELLIS03]  
**Sent:** 2/11/2019 10:15:37 PM  
**To:** Hearn, Liza [Hearn.Liza@epa.gov]  
**CC:** Johnston, Robert [Johnston.Robert@epa.gov]  
**Subject:** Capstone Questions  
**Attachments:** Capstone QAs 2019 02 10 rj je kr.docx

Hello Liza,

We have compiled a list of questions that came in mostly via the Records Helpdesk and general emails. We answered several of the questions and have gone back through various emails and other communications. Can you take a look at the questions with your name in the first column and provide a response? In some cases we may have attempted to answer the question but might need additional clarity.

Thank you in advance!

John B. Ellis, CRM  
EPA Records Officer  
Office of Mission Support (OMS)  
Office of Enterprise Information Programs (OEIP)  
Enterprise Records Management Division (ERMD)  
1301 Constitution Ave., NW, Washington, DC  
William Jefferson Clinton West Building  
Mail Code 2822T, Washington, DC 20460  
Phone: 202-566-1643, Mobile: Ex. 6 Personal Privacy (PP)

Message

**From:** Ellis, John [/O=EXCHANGELABS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=552842B807CD4378984C265F9D21CC8C-JELLIS03]  
**Sent:** 7/11/2019 5:27:44 PM  
**To:** Johnston, Robert [Johnston.Robert@epa.gov]; Moser, Rebecca [Moser.Rebecca@EPA.GOV]; Thompson, BrianK [Thompson.BrianK@epa.gov]; Jones-Parra, Lisa [Jones-Parra.Lisa@epa.gov]  
**Subject:** RE: Draft Table - Alternative Capstone & LN Migration Approaches  
**Attachments:** Revisiting Capstone Lotus Notes Migration Approaches - DRAFT 07-08-2019-rj je.docx

All,

I agree with Roberts comments and addressed the two comments he had for my feedback. I also added a comment in  
**Ex. 5 Deliberative Process (DP)**

## Ex. 5 Deliberative Process (DP)

**John B. Ellis, CRM - Agency Records Officer**

Office of Mission Support (OMS) | Enterprise Records Management Division (ERMD)  
1301 Constitution Ave., NW, Washington, DC 20460 | WJCW | Mail Code 2821T  
Phone: 202-566-1643, Mobile: Ex. 6 Personal Privacy (PP)

Records or Federal Records - defined in 44 U.S.C. 3301, includes all recorded information, regardless of form or characteristics, made or received by a Federal agency under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the United States Government or because of the informational value of data in them.

---

**From:** Johnston, Robert  
**Sent:** Thursday, July 11, 2019 10:24 AM  
**To:** Moser, Rebecca <Moser.Rebecca@EPA.GOV>; Thompson, BrianK <Thompson.BrianK@epa.gov>; Jones-Parra, Lisa <Jones-Parra.Lisa@epa.gov>; Ellis, John <Ellis.john@epa.gov>  
**Subject:** RE: Draft Table - Alternative Capstone & LN Migration Approaches

All,

I have provided my comments in the attached. I have two comments where I have asked for John's feedback.

Robert

"Nobody cares how much you know, until they know you care about them!" Zig Ziglar

---

Robert Johnston, Director, Enterprise Records Management Division | EPA Office of Mission Support  
1200 Pennsylvania Ave NW, MC 2821T (Mail) | 1301 Constitution Ave NW, Room 6312C (Courier) | Washington, DC 20460  
(P) 202-566-1637 | (C) Ex. 8 Personal Privacy (PP)

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**From:** Moser, Rebecca  
**Sent:** Monday, July 8, 2019 8:07 PM  
**To:** Johnston, Robert <Johnston.Robert@epa.gov>; Thompson, BrianK <Thompson.BrianK@epa.gov>; Jones-Parra, Lisa <Jones-Parra.Lisa@epa.gov>; Ellis, John <Ellis.john@epa.gov>  
**Subject:** Draft Table - Alternative Capstone & LN Migration Approaches

Brian, Lisa, Robert & John:

Here is a [draft table](#) showing possible Capstone & LN Migration alternatives.

Feel free to add comments, revisions, additions, other Hybrid approaches. Once you've had a chance to weigh in on this, we could share it with OITO. (Link takes you to the file in my OneDrive; file also attached above.)

I'm hoping we can get something back to Vaughn before COB Thursday. In the meantime, John is exploring times when Vaughn could meet with Laurence Brewer (NARA) about Capstone implementation alternatives – either early next week, or the week of July 29 (since Vaughn is on leave July 18-26).

Rebecca

Rebecca G. Moser  
Director, Office of Enterprise Information Programs  
Office of Mission Support  
U.S. Environmental Protection Agency  
Phone: 202-566-0252

## Appointment

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**From:** Ellis, John [/O=EXCHANGELABS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=552842B807CD4378984C265F9D21CC8C-JELLIS03]  
**Sent:** 9/5/2019 1:23:26 PM  
**To:** Johnston, Robert [Johnston.Robert@epa.gov]  
**Subject:** FW: Day Forward Capstone Approach for EPA  
**Attachments:** Scenarios for Capstone Day Forward Approach.pptx; Day Forward Capstone Matrix.docx  
**Location:** **Ex. 7(F)**  
**Start:** 9/5/2019 1:00:00 PM  
**End:** 9/5/2019 2:00:00 PM  
**Show Time As:** Tentative

Robert, In reading through Jeff's write-up on Capstone, it doesn't seem to **Ex. 5 Deliberative Process (DP)**  
**Ex. 5 Deliberative Process (DP)**

-----Original Appointment-----

**From:** Wells, Jeffrey <Wells.jeffrey@epa.gov>  
**Sent:** Tuesday, September 03, 2019 1:46 PM  
**To:** Wells, Jeffrey; Blake, Wendy; Miller, Kevin; Hearn, Liza; Johnston, Robert; Ellis, John; Thompson, BrianK; Updike, David  
**Cc:** Key, Rena; Epley, Brian; Perkins, Shannon; Scully, Carolyn; Jones-Parra, Lisa; Kelly, Lynn; Le, Kathryn  
**Subject:** Day Forward Capstone Approach for EPA  
**When:** Thursday, September 05, 2019 9:00 AM-10:00 AM (UTC-05:00) Eastern Time (US & Canada).  
**Where:** 6303 West

Added some brief background info. Also added some additional clarifying notes in the Matrix

We will be in **Ex. 7(F)** or on Skype. Thanks!

Jeff

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Join Skype Meeting

Trouble Joining? [Try Skype Web App](#)

Join by phone

**Ex. 6 Personal Privacy (PP) Conference Line**

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Wendy/Kevin, please feel free to invite additional folks.  
Brian feel free to include others from the eDiscovery Division.



The purpose of this meeting is to

Ex. 5 Deliberative Process (DP)

## Ex. 5 Deliberative Process (DP)

Our strategy is to

Ex. 5 Deliberative Process (DP)

## Ex. 5 Deliberative Process (DP)

At this meeting, we will be presenting a one-page matrix that we will walk folks through for discussion. The one-pagers hopefully summarizes the strengths, weaknesses, opportunities, threats and potential cost avoidance associated with the new proposed approach. After our discussion, we can tweak it as needed, settle on something to take to the CIO, and develop any other appropriate notes or supporting documentation or concerns we might want to register.

Thanks,  
Jeff

# Things to keep in mind

- ECMS deployed in FY2007.
- The email records procedure that required saving records into ECMS was 9/25/2009.
- For departing employees, Form 3110-49 was first implemented in the procedure titled Preservation of Separating, Transferring or Separated Personnel's Records in Accordance with the Federal Records Act dated 12/23/2014 – procedure indicates that the 3110-49 form superseded the form 1340-8 (Senior Agency Officials & Political Appointees Separation or Transfer Records Checklist)
- Contractors must save records in ECMS but weren't required to sign a form upon departure like FEDS
  - Contractor records are also kept by CORs/COTARS/PO's/CO's etc.
- If there is a NEW lit hold on a long-time current employee not previously covered by a lit hold, we would only have 10 years of email: 2009-2013 in Lotus and 2013 forward in O365
- If there is a NEW lit hold affecting a departed employee retired before January 1, 2019 and after 2007 and not previously affected by a lit hold, then we will only have the O365 records if they retired between 2013 and 1/1/2019. If they retired after 2007 and before 2013 we will not have their email.

## Scenarios & Implications for non-lit, non-capstone, non-superfund, non-enforcement

### **Email Availability for Departed Employees 2007-2019**

- If you left before 9/25/2009 you had ECMS but weren't required to use it – alternative was print/file. We wouldn't be saving your records anymore anyway (10+ years later).
- If you left after 9/25/2009 and before O365 inauguration in February 2013 (where we migrated a month of email) we won't have your email.
- If you left after February 2013 and before January 2019 we will only have your email remaining in O365 (until it's 10 years old)

### **Email Availability For Departed January 1, 2019 or later and Active Employees**

- We will have your lotus notes email (in LNDU format) from 2009 to 2013 and your O365 email from 2013 forward

Item	Old Lotus Notes Migration Plan	New Notes Migration Plan	Cost Implications Of New Plan	Capstone email Records	Records Disposition Change	Records Program Risks	Notes
Lit Hold, Capstone, Superfund, Enforcement Hold							
All Email in Lotus Notes	Migrated	Migrated	\$1.4 m*	Same	No effect	None	Ex. 5 Deliberative Process (DP)
Non-Lit Hold, Non-Capstone, Non-Superfund, Non-Enforcement							
Departed after 2007 and before January 2019	Migrated	Don't Migrate and delete all Lotus Notes Email (Any O365 emails would remain for up to 10 years)	\$700k cost avoidance *	N/A	Relying on people following the policy before they departed.	If individuals did not follow the policies in place, there is a danger of unauthorized destruction of records.	
Departed January 1, 2019 or later and all active employees	Re-Migrate	Do not re-migrate	\$700k cost avoidance *	Not sent to NARA but maintained for 15 years and then sent.		These peoples' lotus notes emails may have slightly modified metadata = Some email addresses may have LNDU attached to them. (that is the only metadata change)	

New proposal assumes

Ex. 5 Deliberative Process (DP)

Message

---

**From:** Ellis, John [/O=EXCHANGELABS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=552842B807CD4378984C265F9D21CC8C-JELLIS03]  
**Sent:** 4/13/2018 3:36:21 PM  
**To:** Johnston, Robert [Johnston.Robert@epa.gov]  
**CC:** Thompson, BrianK [Thompson.BrianK@epa.gov]  
**Subject:** FW: PP  
**Attachments:** Capstone Powerpoint 2017 12 21 reconciled comments (draft) jbe4 (004) (002).pptx

Robert,

The issue that came up in the Capstone Meeting on Monday was that the Powerpoint presentation should include Capstone impact on Records Management, FOIA and Litigation. I talked to Lisa briefly yesterday and

Ex. 5 Deliberative Process (DP)

## Ex. 5 Deliberative Process (DP)

John B. Ellis, CRM  
EPA Records Officer  
Office of Environmental Information (OEI)  
Office of Enterprise Information Programs (OEIP)  
Enterprise Records Management Division (ERMD)  
1301 Constitution Ave., NW, Washington, DC  
William Jefferson Clinton West Building  
Mail Code 2822T, Washington, DC 20460  
Phone: 202-566-1643, Mobile:

Ex. 6 Personal Privacy (PP)

---

**From:** Jones-Parra, Lisa  
**Sent:** Thursday, April 12, 2018 3:49 PM  
**To:** Ellis, John <Ellis.john@epa.gov>  
**Subject:** PP

Hi John,

Below are the notes from last week regarding the PP

From Last Week:

Capstone Briefing (PowerPoint)

- Should it include Capstone impact on Records Management, FOIA and Litigation? (feedback from an SIO)
- Discussion: We need to look at the PP and FAQs to make sure they include these topics. The training to RLOs and their training to their orgs can begin once we ensure these topics are covered.

Lisa

-----  
Lisa Jones-Parra  
Senior Advisor  
Office of Environmental Information  
U.S. Environmental Protection Agency

Desk: (202) 566-1157  
Cell: Ex. 6 Personal Privacy (PP)



## **EPA Capstone 101**

Role-Based Email Records Management  
OEI/OEIP/Enterprise Records Management Division  
June 2018

[DateTime]

U.S. Environmental Protection Agency

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## Capstone Goals

- To simplify the management of federal email records
- To ensure emails of permanent value are transferred to the National Archives and Records Administration (NARA)
- To help EPA continue to meet the requirements of the *Office of Management and Budget/National Archives and Records Administration Managing Government Records Directive*, Goal 1.2, which required federal agencies to manage all email records electronically by December 31, 2016







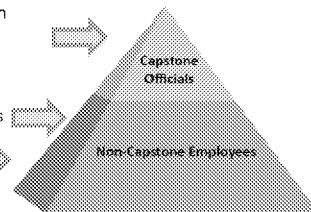
## What Is Capstone?

The National Archives and Records Administration (NARA) developed the Capstone approach as an alternative method agencies can use to manage large volumes of email records electronically, as required by the OMB/NARA *Managing Government Records Directive*.

Permanent retention for records in email account including, emails, Calendars, "to do" lists and chats

10-year retention for records in email account including calendars "to do" lists and chats

Exceptions – retentions longer than 10 years, employee must save in a recordkeeping system (e.g. ECMS using the EZ Email tool).





## Current and Capstone Approaches

Capstone uses a role-based approach to email management, while the traditional method used a content-based approach to email management.

Email Management – Current Approach	Email Management – Capstone Approach
Content-based	Role-based
Employee responsible for saving each email record to the Enterprise Content Management System (ECMS) using the EZ Email Records tool based on the content of the email record.	Mostly automated process to save and retain or dispose of emails based on employee's position.



## What Are The Benefits of Capstone?

- Reduces the burden of managing email records
- Helps ensure the preservation of important email records
- Allows employees to delete non-records, including chats, and transitory email records within 90 days from the date sent or received. All remaining emails are automatically retained. This process is known as “culling”.
- Provides employees with easy individual access to their preserved email records in Outlook (both the active and archive folder)



# Who Is Impacted by Capstone?

All EPA employees are impacted by Capstone  
and are divided into two groups



Capstone Officials



Non-Capstone Employees

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## Who Are Capstone Officials?

EPA's most senior officials who are responsible for Agency and program policy, as identified from Senior Leaders Directories, organizational charts, and program/regional and NARA input.

- AAs, DAAs, DRAs, ARAs, Lab Directors and other similar positions
- EPA's designation of Capstone Officials must be approved by NARA.
- For more information on EPA's Capstone Officials, see the list at:  
<http://intranet.epa.gov/records/capstone/files/capstone-officials.docx>



## Email Principles for Capstone Officials:

- Limited time to cull non-records and transitory records such as Mass Mailers (90 days from the date of the email)
- Permanent retention with transfer to NARA after 15 years.
- Must save email in a recordkeeping system (e.g. ECMS using the EZ Email tool), during those periods of time in which they were not serving in a Capstone Official role for 60 days or more.
- If subject to legal hold, the transfer to NARA is suspended until legal hold is lifted.
- If subject to legal hold, records deleted by the user during the culling period won't be permanently deleted until the hold is lifted.



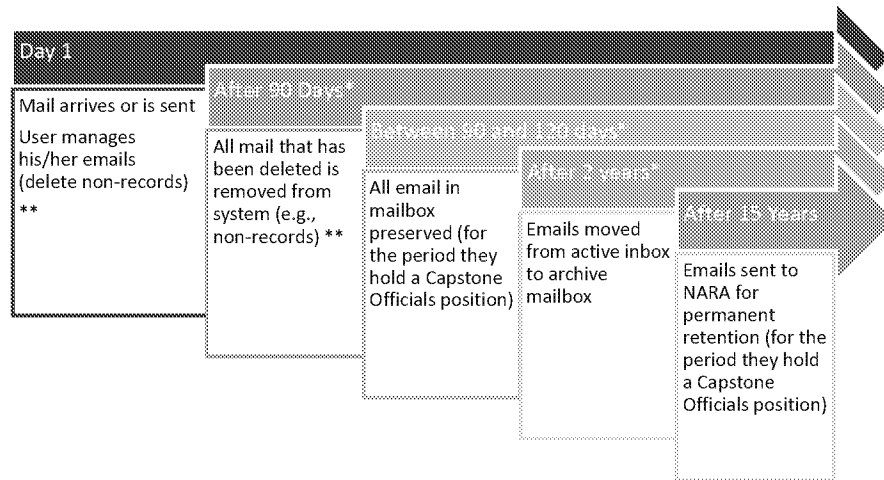
[DateTime]

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## Process for Managing Capstone Officials' Emails:



\*Automated process

\*\* Emails that are subject to a litigation hold or other preservation obligation must be retained in your email box.



## Email Principles for Non-Capstone Employees

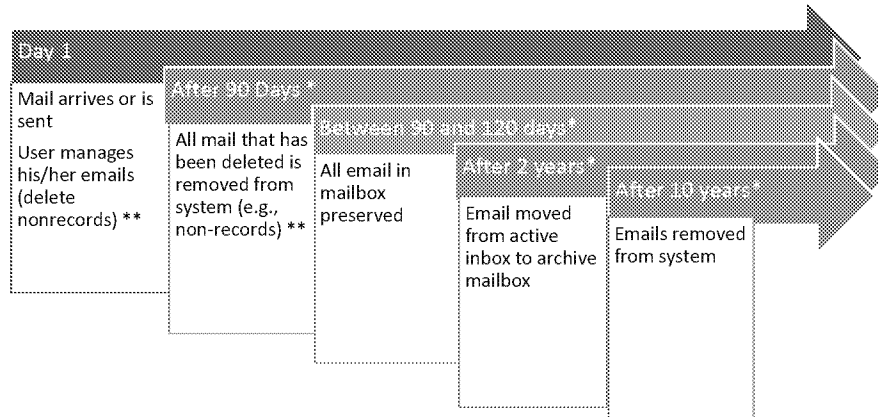
- Limited time to cull non-records (90 days from the date of the email)
- Temporary retention with deletion after 10 years
- If subject to legal hold, records deleted by the user during the culling period won't be permanently deleted until the hold is lifted
- If emails must be retained longer than 10 years per EPA records schedules, employee must save them to a recordkeeping system (e.g. ECMS using the EZ Email tool).







## Process for Managing Non-Capstone Employees' Emails



\*Automated process

\*\* Emails that are subject to a litigation hold or other preservation obligation must be retained in your email box.



## Exceptions for Non-Capstone Employees

- If you are a non-Capstone employee with emails that must be retained for longer than 10 years according to EPA records schedules, you must save them to a recordkeeping system (e.g. ECMS using the EZ Email tool).
- If you are currently, under Litigation Hold, all your mail will be migrated from Lotus Notes and retained in Outlook until the last litigation hold is lifted. When the last hold is lifted, the 10 year retention schedule will automatically be applied.
- Those under litigation hold may also have access to emails prior to 2007.
- A retention matrix listing schedules exceeding 10 years can be found at:  
<http://intranet.epa.gov/records/capstone/files/retention-matrix-10+-years-only.xlsx>



## Exceptions for Non-Capstone Employees - Superfund

- Due to OEI's termination of Lotus Notes support and Superfund record retention requirements, the Office of Superfund Remediation and Technology Innovation (OSRTI) has created a process to ensure continued availability of these critical Superfund records.
- Individuals who have Superfund email records include, but are not limited to, division directors, branch chiefs, remedial project managers, on-scene coordinators, community involvement coordinators, laboratory technicians and Superfund support staff.
  - OSRTI is creating a list of all relevant staff. Identified users will be added to a (to be created) "Superfund Hold" group. For users in this group, ALL emails from Lotus Notes will be migrated into Outlook (not just those from 2007 and later).
  - This group's members will maintain access to their individual Lotus Notes emails until the Outlook migration is complete. At this point, all Lotus Notes email will be deleted and emails in Outlook will be accessible from within the users' Outlook archive.
  - Users in the Superfund Hold group will be the only users with access to 2007 and prior emails.
  - Once NARA certifies SEMS as an official records system in December 2018: (a) all emails older than ten years will be migrated from Outlook to SEMS as records, (b) the Superfund Hold group will be decommissioned, and (c) Outlook emails older than ten years will be deleted according to the Capstone process.

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### Examples of Schedules With Retention Periods Longer Than 10 Years (Exceptions) for Non-Capstone Employees

Administrative Law Judge (ALJ) Case Files for Routine Cases	20 Years
Basic, Exploratory Scientific Research Projects	20 Years
General Dockets	20 Years
Superfund Local Government Reimbursement Program	30 Years
ALJ Landmark or Precedent Case Files	Permanent
Directives and Policy Documents	Permanent
Environmental Training Materials	Permanent
State Authorizations	Permanent



Note: See link to a list of records schedules with retention periods longer than 10 years on the Resources slide.

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## RESOURCES

- Frequent Questions: <http://intranet.epa.gov/records/capstone/index.html>
- Employee Action Item: Lotus Notes Email:  
[https://usepa.sharepoint.com/sites/OA\\_Work/epanews/newsitems/Lists/Posts/Post.aspx?ID=387](https://usepa.sharepoint.com/sites/OA_Work/epanews/newsitems/Lists/Posts/Post.aspx?ID=387)
- For more information on records schedules with retentions longer than 10 years: <http://intranet.epa.gov/records/capstone/files/retention-matrix-10+-years-only.xlsx>
- EPA's National Records Management webpages:  
<http://intranet.epa.gov/records/>
- NARA background information and training materials are available at:  
<https://www.archives.gov/records-mgmt/email-management/capstone-training-and-resources.html>



## Points of Contact

- Robert Johnston  
Director, Enterprise Records Management Division  
Office of Enterprise Information Programs  
Office of Environmental Information  
[johnston.robert@epa.gov](mailto:johnston.robert@epa.gov), 202-566-1637
- John B. Ellis, CRM  
EPA Records Officer  
Office of Enterprise Information Programs  
Office of Environmental Information  
[ellis.john@epa.gov](mailto:ellis.john@epa.gov), 202-566-1643
- Jennifer Sutton  
Office of Superfund Remediation and Technology Innovation  
Chief, Information Management Branch (SEMS)  
[sutton.jenifer@epa.gov](mailto:sutton.jenifer@epa.gov), 703 603-8718
- [Records Liaison Officers](#)
- Records Help Desk  
[records@epa.gov](mailto:records@epa.gov), 202-566-0494

[DateTime]

U.S. Environmental Protection Agency

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Message

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**From:** Ellis, John [/O=EXCHANGELABS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=552842B807CD4378984C265F9D21CC8C-JELLIS03]  
**Sent:** 6/11/2018 11:37:39 AM  
**To:** Johnston, Robert [Johnston.Robert@epa.gov]  
**Subject:** Capstone Question to other Agencies.docx  
**Attachments:** Capstone Question to other Agencies.docx

Good Morning Robert,

Per your request, attached, I have complied the answers to the Capstone question... **Under the Capstone approach, how are agencies handling the retention of non-Capstone Officials' email records with event based/ event driven closure dates?**

**Ex. 5 Deliberative Process (DP)**

John B. Ellis, CRM  
EPA Records Officer  
Office of Environmental Information (OEI)  
Office of Enterprise Information Programs (OEIP)  
Enterprise Records Management Division (ERMD)  
1301 Constitution Ave., NW, Washington, DC  
William Jefferson Clinton West Building  
Mail Code 2822T, Washington, DC 20460  
Phone: 202-566-1643, Mobile

Ex. 6 Personal Privacy (PP)

Message

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**From:** Ellis, John [/O=EXCHANGELABS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=552842B807CD4378984C265F9D21CC8C-JELLIS03]  
**Sent:** 11/2/2017 5:35:06 PM  
**To:** Johnston, Robert [Johnston.Robert@epa.gov]  
**Subject:** RE: Capstone Mass Mailer  
**Attachments:** Capstone Agency-wide memo 2017-11-2jbe.docx

Do you have a moment to talk about my comments before I send them to Lisa?

---

**From:** Johnston, Robert  
**Sent:** Thursday, November 02, 2017 1:28 PM  
**To:** Jones-Parra, Lisa <Jones-Parra.Lisa@epa.gov>; Moser, Rebecca <Moser.Rebecca@EPA.GOV>; Hearn, Lisa <Hearn.Lisa@epa.gov>  
**Cc:** Fine, Steven <fine.steven@epa.gov>; Ellis, John <Ellis.john@epa.gov>  
**Subject:** RE: Capstone Mass Mailer

This is really shaping up. I have just a few edits and comments.

Robert

"Nobody cares how much you know, until they know you care about them!" Zig Ziglar

---

Robert Johnston, Director, Enterprise Records Management Division | EPA Office of Environmental Information  
1200 Pennsylvania Ave NW, MC 2822T (Mail) | 1301 Constitution Ave NW, Room 6143H (Courier) | Washington, DC 20460  
(P) 202-566-1637 | (C) 202-744-1741

---

**From:** Jones-Parra, Lisa  
**Sent:** Thursday, November 2, 2017 12:44 PM  
**To:** Moser, Rebecca <Moser.Rebecca@EPA.GOV>; Hearn, Lisa <Hearn.Lisa@epa.gov>  
**Cc:** Fine, Steven <fine.steven@epa.gov>; Ellis, John <Ellis.john@epa.gov>; Johnston, Robert <Johnston.Robert@epa.gov>  
**Subject:** Capstone Mass Mailer

Hello,

Please see the attached final mass mailer. We are hoping to send this to OPA tomorrow. The biggest change you will see is the **Ex. 5 Deliberative Process (DP)**

## **Ex. 5 Deliberative Process (DP)**

If you see any major issues, please let me know today.

Thanks

Lisa

-----

Lisa Jones-Parra  
Senior Advisor to the Acting Assistant Administrator  
and Acting Chief Information Officer  
Office of Environmental Information  
U.S. Environmental Protection Agency  
Desk: (202) 566-1157  
Cell: **Ex. 6 Personal Privacy (PP)**



Message

---

**From:** York, Sandy [York.Sandy@epa.gov]  
**Sent:** 4/19/2017 4:33:25 PM  
**To:** Ellis, John [Ellis.john@epa.gov]; Johnston, Robert [Johnston.Robert@epa.gov]; Boulware, Tammy [Boulware.Tammy@epa.gov]; Moore, Gina [Moore.Gina@EPA.GOV]  
**CC:** Rutsala, Katherine [Rutsala.Katherine@epa.gov]  
**Subject:** Capstone communications - draft  
**Attachments:** Capstone FAQ 2017-04-19.docx; Senior leaders memo 2017-04-19.docx; Capstone officials memo 2017-04-19.docx; Capstone partners memo 2017-04-19 .docx; Capstone at EPA - 2017-04-04.pptx

Attached are the draft communications documents for Capstone.

- Frequent questions
- Memo for senior leaders
- Memo to Capstone officials
- Memo to Capstone partners (e.g., RLOs, RWG)
- Briefing (training)

---

Sandy York  
ASMS contractor supporting the  
U.S. EPA National Records Management Program (NRMP)  
Phone: 505-286-6346

NRMP Help Desk: 202-566-1494 or  
Email: [records@epa.gov](mailto:records@epa.gov)

**Ex. 6 Personal Privacy (PP)**

Save it, find it, share it!

Message

---

**From:** York, Sandy [York.Sandy@epa.gov]  
**Sent:** 4/24/2017 6:19:19 PM  
**To:** Johnston, Robert [Johnston.Robert@epa.gov]  
**CC:** Ellis, John [Ellis.john@epa.gov]; Boulware, Tammy [Boulware.Tammy@epa.gov]; Moore, Gina [Moore.Gina@EPA.GOV]; Rutsala, Katherine [Rutsala.Katherine@epa.gov]  
**Subject:** Capstone communications documents revised as of 4/24/17  
**Attachments:** Capstone at EPA DRAFT 2017-04-24.pptx; Senior leaders memo 2017-04-24.docx; Capstone officials memo 2017-04-24 short version.docx; Capstone officials memo 2017-04-24 long version.docx; Capstone partners memo 2017-04-24.docx; Capstone FAQ 2017-04-24.docx

Robert,

Here are the revised versions of the various communications documents incorporating your edits.

I also did a short version of the Capstone officials memo that could be used if the memo to the senior officials goes out first. The short version of the Capstone officials memo does not repeat most of the information in the senior officials memo.

Sandy

---

Sandy York  
ASMS contractor supporting the  
U.S. EPA National Records Management Program (NRMP)  
Phone: 505-286-6346

NRMP Help Desk: 202-566-1494 or  
Email: [records@epa.gov](mailto:records@epa.gov)

**Ex. 6 Personal Privacy (PP)**

Save it, find it, share it!

**From:** Johnston, Robert [Johnston.Robert@epa.gov]  
**Sent:** 5/2/2017 5:38:40 PM  
**To:** Moser, Rebecca [Moser.Rebecca@EPA.GOV]; Shenefiel, Pam [shenefiel.pam@epa.gov]  
**CC:** Ellis, John [Ellis.john@epa.gov]  
**Subject:** RE: REVIEW NEEDED: Capstone Communication Materials Updated 5/2/17  
**Attachments:** Capstone at EPA - 2017 05 02 RJ.pptx; Capstone Senior Leaders Memo 2017-05-02 RJ.docx; Capstone Officials Memo 2017-05-02 long version RJ.docx; Capstone Officials Memo 2017-05-02 short version RJ.docx; Capstone Partners Memo 2017-05-02 RJ.docx; Capstone FAQ 2017-05-02 RJ.docx; Retention matrix 10+ years only 2017-05-02.xlsx

Hi Rebecca,

We have updated our Capstone communications per your suggestions. Please let me know how to proceed,

Ex. 5 Deliberative Process (DP)

Ex. 5 Deliberative Process (DP) Attached are the following:

### **Draft Capstone communication documents**

**1. PowerPoint presentation: Capstone at EPA - Role-based Email Records Management**

**Audience:** all EPA employees

**Purpose:** employee briefing; training to post to records intranet site

**Includes:** goals, overview, processes, designation of Capstone officials, benefits and implementation challenges, status, NARA resources, POCs

**2. Word document: Memo to EPA Senior Leaders**

**Audience:** all Senior Leaders

**Purpose:** notification of implementation of Capstone approach for managing email

**Includes:** overview, benefits, processes, POCs

**3. Word document: Memo to Capstone Officials (long version)**

**Audience:** Capstone Officials

**Purpose:** notification of designation as Capstone Official

**Includes:** overview, benefits, processes, POCs

**4. Word document: Memo to Capstone Officials (short version)**

**Audience:** Capstone Officials

**Purpose:** notification of designation as Capstone Official

**Includes:** processes, POCs

**5. Word document: Memo to Partners**

**Audience:** Records Liaison Officers (RLOs), records contacts, OGC

**Purpose:** notification of implementation of Capstone approach for managing email

**Includes:** overview, benefits, processes, POCs

**6. Word document: Frequent Questions about Capstone Email and Records**

**Audience:** all EPA employees

**Purpose:** responses to frequently asked questions to post to records intranet site

**Includes:** overview, designation of Capstone officials, benefits processes, recovering deleted emails, exceptions to 10 year retention

## 7. Retention Matrix 10+ Years

Audience: all EPA employees

Purpose: supports employee briefing/training to post to records intranet site

Includes: records schedules longer than 10 years

Let me know if you have any questions.

Thanks,

Robert

"Nobody cares how much you know, until they know you care about them!" Zig Ziglar

Robert Johnston, Enterprise Records Management Division Director | EPA Office of Environmental Information  
1200 Pennsylvania Ave NW, MC 2822T (Mail) | 1301 Constitution Ave NW, Room 6143H (Courier) | Washington, DC 20460  
(P) 202-566-1637 | (C) Ex. 5 Personal Privacy (PP)

**From:** Moser, Rebecca

**Sent:** Friday, April 28, 2017 7:45 PM

**To:** Johnston, Robert <Johnston.Robert@epa.gov>; Shenefiel, Pam <shenefiel.pam@epa.gov>

**Cc:** Ellis, John <Ellis.john@epa.gov>; Hearn, Liza <Hearn.Liza@epa.gov>

**Subject:** RE: REVIEW NEEDED: Capstone Communication Materials

Robert:

Thank you to you and your team for preparing all of these Capstone communication materials! I have reviewed and provided edits/comments on them and my revised versions are attached.

They looked great, and while I had some edits/stylistic changes, the overall content is largely the same. One notable exception . . . I would like to Ex. 5 Deliberative Process (DP)

## Ex. 5 Deliberative Process (DP)

On the PowerPoint, Ex. 5 Deliberative Process (DP)

Ex. 5 Deliberative Process (DP)

Also note that for Steve's phone number, he's asked us to use the OEI main office number (202-564-6665), rather than his direct line.

Liza had suggested Ex. 5 Deliberative Process (DP)

## Ex. 5 Deliberative Process (DP)

I agree it would be Ex. 5 Deliberative Process (DP)

Ex. 5 Deliberative Process (DP) So for this Monday's meeting (5/1/2017), if you could just provide an overview of the draft pieces you've developed, that would be great.

Thanks again,

Rebecca

Rebecca Moser, Director  
Office of Enterprise Information Programs (OEIP)  
Office of Environmental Information (OEI)  
U.S. Environmental Protection Agency  
Phone: 202-566-0252

Fax: 202-566-1624

---

**From:** Johnston, Robert  
**Sent:** Tuesday, April 25, 2017 10:01 AM  
**To:** Moser, Rebecca <Moser.Rebecca@EPA.GOV>; Shenefiel, Pam <shenefiel.pam@epa.gov>  
**Cc:** Ellis, John <Ellis.john@epa.gov>  
**Subject:** REVIEW NEEDED: Capstone Communication Materials

Hi Rebecca and Pam,

Please find attached our draft Capstone communication materials. The following attachments are included:

- Frequent questions
- Memo for senior leaders
- Memo to Capstone officials (long version)
- Memo to Capstone officials (short version)
- Memo to Capstone partners (e.g., RLOs, RWG)
- Briefing (training)

I also did a short version of the Capstone officials memo that could be used if the memo to the senior officials goes out first. The short version of the Capstone officials memo does not repeat most of the information in the senior officials memo.

For the PPT presentation **Ex. 5 Deliberative Process (DP)**  
**Ex. 5 Deliberative Process (DP)**

**Rebecca,** One of our messages is for all staff to remove transient and non-email records within the first 90-days of receipt. While there are many nuances to how this function actually works, we thought it best to keep it simple. what are your thoughts? **Ex. 5 Deliberative Process (DP)**

**Ex. 5 Deliberative Process (DP)**

We have not developed communications for how the agency will handle Lotus Notes. **Rebecca,** would the document Liza prepared and you edited be a good place to start? We will need OITO review to ensure we include all the salient information.

Please use track changes to edit/comment on the communication materials. I am unable to review deits/comments made on paper materials.

Thanks,  
Robert

"Nobody cares how much you know, until they know you care about them!" Zig Ziglar

---

Robert Johnston, Enterprise Records Management Division Director | EPA Office of Environmental Information  
1200 Pennsylvania Ave NW, MC 2822T (Mail) | 1301 Constitution Ave NW, Room 6143H (Courier) | Washington, DC 20460  
(P) 202-566-1637 | (C) **Ex. 5 Personal Privacy (PP)**

ED\_006018\_00019282-00003

Message

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**From:** York, Sandy [York.Sandy@epa.gov]  
**Sent:** 11/15/2016 9:03:29 PM  
**To:** Ellis, John [Ellis.john@epa.gov]; Rutsala, Katherine [Rutsala.Katherine@epa.gov]  
**Subject:** Draft to RLOs on Capstone officials list for review and comment  
**Attachments:** RLO memo on Capstone officials 2016-11-15.docx

Here's a first draft of a message to send to the RLOs along with the list of Capstone officials for review and comment.

---

Sandy York, CRM  
ASRC Primus  
Contract support for EPA's National Records Management Program (NRMP)  
505-286-6346  
[york.sandy@epa.gov](mailto:york.sandy@epa.gov)  
Records intranet site: **Ex. 6 Personal Privacy (PP)**

Save it, find it, share it!

Message

**From:** Johnston, Robert [Johnston.Robert@epa.gov]  
**Sent:** 7/6/2017 2:49:09 PM  
**To:** Virgille, Joanne [Virgille.Joanne@epa.gov]  
**CC:** Ellis, John [Ellis.john@epa.gov]; Rutsala, Katherine [Rutsala.Katherine@epa.gov]; York, Sandy [York.Sandy@epa.gov]; Jones-Parra, Lisa [Jones-Parra.Lisa@epa.gov]; Moser, Rebecca [Moser.Rebecca@EPA.GOV]  
**Subject:** RE: Capstone Communications - All Hands Memo  
**Attachments:** Capstone Strategic Marketing Communications Plan\_RJ.docx

Hi Joanne,

Thanks for preparing these materials. John and Team are still working on the agency-wide communication, but I have provided my comments on the communications plan. Does anyone else have comments? Rebecca or Lisa?

Lisa, Joanne and I are will discuss the communications plan on Friday, do you want to be part of this discussion?

Ex. 6 Personal Privacy (PP)

Ex. 6 Personal Privacy (PP)

Robert

"Nobody cares how much you know, until they know you care about them!" Zig Ziglar

Robert Johnston, Director, Enterprise Records Management Division | EPA Office of Environmental Information  
1200 Pennsylvania Ave NW, MC 2822T (Mail) | 1301 Constitution Ave NW, Room 6143H (Counier) | Washington, DC 20460  
(P) 202-566-1637 | (C) Ex. 6 Personal Privacy (PP)

**From:** Virgille, Joanne  
**Sent:** Thursday, June 29, 2017 6:38 PM  
**To:** Johnston, Robert <Johnston.Robert@epa.gov>  
**Cc:** Ellis, John <Ellis.john@epa.gov>; Rutsala, Katherine <Rutsala.Katherine@epa.gov>; York, Sandy <York.Sandy@epa.gov>; Jones-Parra, Lisa <Jones-Parra.Lisa@epa.gov>  
**Subject:** RE: Capstone Communications - All Hands Memo  
**Importance:** High

Hi Robert,

Attached is the updated memo for your review but please be sure to make your edits in SharePoint, [here](#).

Also, as I mentioned to you in another email about the PowerPoint, I have a really quick, one-page **strategic** marking communications plan attached, also for your review. As we discussed during our first sit-down meeting, I would like to

Ex. 5 Deliberative Process (DP)

Ex. 5 Deliberative Process (DP)

Ex. 5 Deliberative Process (DP)

Anyhow, please let me know your thoughts. I have also copied Lisa so that she can provide some feedback and assistane where needed.

Thank you, everyone!

Thank you,  
Joanne Virgille  
OEI/OCAPPM/CACD  
(202) 564-6438  
[virgille.joanne@epa.gov](mailto:virgille.joanne@epa.gov)

---

**From:** Johnston, Robert  
**Sent:** Thursday, June 29, 2017 8:46 AM  
**To:** Virgille, Joanne <Virgille.Joanne@epa.gov>  
**Cc:** Ellis, John <Ellis.john@epa.gov>; Rutsala, Katherine <Rutsala.Katherine@epa.gov>; York, Sandy <York.Sandy@epa.gov>  
**Subject:** RE: Capstone Communications - All Hands Memo

Okay, thank you Joanne.

Robert

"Nobody cares how much you know, until they know you care about them!" Zig Ziglar

---

Robert Johnston, Director, Enterprise Records Management Division | EPA Office of Environmental Information  
1200 Pennsylvania Ave. NW, 2822T (Mail) | 1301 Constitution Ave NW, Room 6143H (Courier) | Washington, DC 20460  
(P) 202-566-1637 | (C) Ex. 6 Personal Privacy (PP)

---

**From:** Virgille, Joanne  
**Sent:** Wednesday, June 28, 2017 6:24 PM  
**To:** Johnston, Robert <Johnston.Robert@epa.gov>  
**Cc:** Ellis, John <Ellis.john@epa.gov>; Rutsala, Katherine <Rutsala.Katherine@epa.gov>; York, Sandy <York.Sandy@epa.gov>  
**Subject:** RE: Capstone Communications - All Hands Memo

Hi Robert,

My apologies for the late reply. Ex. 6 Personal Privacy (PP) and spent most of today working on another project Steve has to send out tomorrow. I can definitely take a look at the memo and get it back to you tomorrow. I will use the version that is currently in the SharePoint site titled, "Capstone Agencywide Memo 2017-06-19." Of course, please feel free to let me know if you have any questions or concerns.

Thank you,

Thank you,  
Joanne Virgille  
OEI/OCAPPM/CACD  
(202) 564-6438  
[virgille.joanne@epa.gov](mailto:virgille.joanne@epa.gov)

---

**From:** Johnston, Robert  
**Sent:** Monday, June 26, 2017 11:46 AM  
**To:** Virgille, Joanne <Virgille.Joanne@epa.gov>  
**Cc:** Ellis, John <Ellis.john@epa.gov>; Rutsala, Katherine <Rutsala.Katherine@epa.gov>; York, Sandy <York.Sandy@epa.gov>  
**Subject:** Capstone Communications - All Hands Memo

Hi Joanne,

During our Capstone meeting this morning Steve asked if you can take a look at the Capstone all hands memo Ex. 5 Deliberative Process (DP)

## Ex. 5 Deliberative Process (DP)

Can you give it a try?



Thanks,

Robert

"Nobody cares how much you know, until they know you care about them!" Zig Ziglar

---

Robert Johnston, Director, Enterprise Records Management Division | EPA Office of Environmental Information  
1200 Pennsylvania Ave NW, MC 2822T (Mail) | 1301 Constitution Ave NW, Room 6143H (Courier) | Washington, DC 20460  
(P) 202-566-1637 | (C) Ex. 8 Personal Privacy (PP)

Message

---

**From:** Johnston, Robert [Johnston.Robert@epa.gov]  
**Sent:** 9/20/2016 10:04:57 PM  
**To:** Kelly, Lynn [Kelly.Lynn@epa.gov]; Ellis, John [Ellis.john@epa.gov]  
**Subject:** RE: Capstone Meeting Notes

Hi Lynn,

Yes it would be good to meet with you. I will check schedules tomorrow and send out an invitation.

Thanks much.  
Robert

---

Robert Johnston, Director, Enterprise Records Management Division | EPA Office of Environmental Information  
1200 Pennsylvania Ave NW, MC 2822T (Mail) | 1201 Constitution Ave NW, Room 6143H (Courier) | Washington, DC 20460  
(P) 202-566-1637 | (C) Ex. 6 Personal Privacy (PP)

---

**From:** Kelly, Lynn  
**Sent:** Tuesday, September 20, 2016 5:25 PM  
**To:** Ellis, John  
**Cc:** Johnston, Robert  
**Subject:** RE: Capstone Meeting Notes

John and Robert,

Believe it or not I basically just got off the phone and had a chance to check my voicemails! I am sorry I only responded to the narrow question in your email below.

I would welcome a chance to meet and talk Capstone progress. I had been periodically checking in with Scott Stirneman as well but I understand he has been in and out of the office for various reasons. I also know Wendy had been talking at her level to ensure our offices are both on the right path. Is there a good time to have a meeting or a call with the right folks to check in? I have time to dig in these days and would love to engage in your efforts.

Lynn Kelly | US EPA | Office of General Counsel | 1200 Pennsylvania Ave., NW | WJC North, Mail Code 2377A | Washington, DC 20460 | phone: (202) 564-3266  
The contents of this e-mail and any attachments to it may contain deliberative-process, attorney-client, attorney work product, or otherwise privileged material. If you are not the intended recipient, or believe you have received this communication in error, please delete the copy you received, and do not print, copy, retransmit, disseminate, or otherwise use the information. Thank you.

**From:** Kelly, Lynn  
**Sent:** Tuesday, September 20, 2016 2:13 PM  
**To:** Ellis, John <Ellis.john@epa.gov>  
**Cc:** Johnston, Robert <Johnston.Robert@epa.gov>  
**Subject:** RE: Capstone Meeting Notes

Hi John,

## Ex. 5 Deliberative Process (DP)

Lynn Kelly | US EPA | Office of General Counsel | 1200 Pennsylvania Ave., NW | WJC North, Mail Code 2377A | Washington, DC 20460 | phone: (202) 564-3266  
The contents of this e-mail and any attachments to it may contain deliberative-process, attorney-client, attorney work product, or otherwise privileged material. If you are not the intended recipient, or believe you have received this communication in error, please delete the copy you received, and do not print, copy, retransmit, disseminate, or otherwise use the information. Thank you.

**From:** Ellis, John  
**Sent:** Tuesday, September 20, 2016 2:01 PM

To: Kelly, Lynn <Kelly.Lynn@epa.gov<mailto:Kelly.Lynn@epa.gov>>  
Cc: Johnston, Robert <Johnston.Robert@epa.gov<mailto:Johnston.Robert@epa.gov>>  
Subject: FW: Capstone Meeting Notes

Hello Lynn,

## Ex. 5 Deliberative Process (DP)

From: Kelly, Lynn  
Sent: Friday, May 13, 2016 9:09 AM  
To: Johnston, Robert <Johnston.Robert@epa.gov<mailto:Johnston.Robert@epa.gov>>; Ellis, John <Ellis.john@epa.gov<mailto:Ellis.john@epa.gov>>  
Subject: RE: Capstone Meeting Notes

~~I made a few tweaks with respect to OGC related notes. I also think~~

Ex. 5 Deliberative Process (DP)

## Ex. 5 Deliberative Process (DP)

Lynn Kelly | US EPA | Office of General Counsel | 1200 Pennsylvania Ave., NW | WJC North, Mail Code 2377A  
| Washington, DC 20460 | phone: (202) 564-3266  
The contents of this e-mail and any attachments to it may contain deliberative-process, attorney-client, attorney work product, or otherwise privileged material. If you are not the intended recipient, or believe you have received this communication in error, please delete the copy you received, and do not print, copy, retransmit, disseminate, or otherwise use the information. Thank you.

From: Johnston, Robert  
Sent: Friday, May 13, 2016 7:32 AM  
To: Ellis, John <Ellis.john@epa.gov<mailto:Ellis.john@epa.gov>>; Kelly, Lynn <Kelly.Lynn@epa.gov<mailto:Kelly.Lynn@epa.gov>>  
Subject: RE: Capstone Meeting Notes

Hi John,

~~I am generally fine with the notes from our Capstone discussion with OGC.~~

Ex. 5 Deliberative Process (DP)

## Ex. 5 Deliberative Process (DP)

Please have someone proof the document before it goes to Rebecca. Of course wait until Lynn weighs in first.

Thanks.  
Robert

---

Robert Johnston, Collection Strategies Division Associate Director | EPA Office of Environmental Information  
1200 Pennsylvania Ave NW, MC 2822T (Mail) | 1201 Constitution Ave NW, Room 6143H (Courier) | Washington, DC 20460  
(P) 202-566-1637 | (C) Ex. 6 Personal Privacy (PP)

From: Ellis, John  
Sent: Thursday, May 12, 2016 2:59 PM  
To: Johnston, Robert; Kelly, Lynn  
Subject: Capstone Meeting Notes

Please review the write-up of our Capstone meeting and let me know if you have edits or comments.

John B. Ellis, CRM  
EPA Records Officer  
Office of Environmental Information (OEI), Office of Information Collection (OIC)  
Records and Content Management Branch (RCMB)  
Location: 1301 Constitution Ave., NW, Washington, DC Williams Jefferson Clinton West Building  
Mail Code 2822T, Washington, DC 20460  
Phone: 202-566-1643, Mobile Ex. 6 Personal Privacy (PP)

Save it, find it, share it!

Records include all recorded information, regardless of physical form or characteristics, made or received by an agency of the United States Government under federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of the data in them (44 U.S.C. 3301).

Records and Information Management (RIM)...  
Ensures Accountability, Efficiency and Transparency

Message

---

**From:** York, Sandy [York.Sandy@epa.gov]  
**Sent:** 10/4/2016 3:51:41 PM  
**To:** Ellis, John [Ellis.john@epa.gov]  
**CC:** Rutsala, Katherine [Rutsala.Katherine@epa.gov]  
**Subject:** Re: Records Management Briefing for OEI-IO on 9/26/16  
**Attachments:** Capstone slide 2016-10-04.pptx

Here you go.

---

Sandy York, CRM  
ASRC Primus  
Contract support for EPA's National Records Management Program (NRMP)  
505-286-6346  
[york.sandy@epa.gov](mailto:york.sandy@epa.gov)  
Records intranet site: **Ex. 6 Personal Privacy (PP)**

Save it, find it, share it!

---

**From:** Ellis, John  
**Sent:** Tuesday, October 4, 2016 8:56:06 AM  
**To:** York, Sandy  
**Subject:** RE: Records Management Briefing for OEI-IO on 9/26/16

No just use the temple for your Capstone slide.

---

**From:** York, Sandy  
**Sent:** Tuesday, October 04, 2016 10:55 AM  
**To:** Ellis, John <Ellis.john@epa.gov>  
**Subject:** Re: Records Management Briefing for OEI-IO on 9/26/16

Do you want me to add it to this presentation, and if so, which slide?

---

Sandy York, CRM  
ASRC Primus  
Contract support for EPA's National Records Management Program (NRMP)  
505-286-6346  
[york.sandy@epa.gov](mailto:york.sandy@epa.gov)  
Records intranet site: **Ex. 6 Personal Privacy (PP)**

Save it, find it, share it!

---

**From:** Ellis, John  
**Sent:** Tuesday, October 4, 2016 8:52:44 AM  
**To:** York, Sandy  
**Subject:** FW: Records Management Briefing for OEI-IO on 9/26/16

---

**From:** Ellis, John  
**Sent:** Monday, October 03, 2016 2:30 PM  
**To:** Johnston, Robert <[Johnston.Robert@epa.gov](mailto:Johnston.Robert@epa.gov)>  
**Subject:** Fwd: Records Management Briefing for OEI-IO on 9/26/16

Here it is.

John B. Ellis, CRM  
EPA Records Officer  
Location: 1301 Constitution Ave., NW, Washington, DC William Jefferson Clinton West Building  
Mail Code 2822T, Washington, DC 20460  
Phone: 202-566-1643, Mobile Ex. 6 Personal Privacy (PP)

Begin forwarded message:

**From:** "Ellis, John" <[Ellis.john@epa.gov](mailto:Ellis.john@epa.gov)>  
**Date:** September 16, 2016 at 11:23:50 AM EDT  
**To:** "Stirneman, Scott" <[Stirneman.scott@epa.gov](mailto:Stirneman.scott@epa.gov)>, "Johnston, Robert" <[Johnston.Robert@epa.gov](mailto:Johnston.Robert@epa.gov)>  
**Subject:** FW: Records Management Briefing for OEI-IO on 9/26/16

Sorry , I included the wrong attachment with the previous message.

-----Original Message-----

From: Ellis, John  
Sent: Friday, September 16, 2016 11:21 AM  
To: Stirneman, Scott <[Stirneman.scott@epa.gov](mailto:Stirneman.scott@epa.gov)>; Johnston, Robert <[Johnston.Robert@epa.gov](mailto:Johnston.Robert@epa.gov)>  
Subject: FW: Records Management Briefing for OEI-IO on 9/26/16

Scott and Robert, Here is a first draft of the presentation for Ann Dunkin on the future of records management.

-----Original Message-----

From: Johnston, Robert  
Sent: Wednesday, September 14, 2016 6:09 AM  
To: Ellis, John <[Ellis.john@epa.gov](mailto:Ellis.john@epa.gov)>; Stirneman, Scott <[Stirneman.scott@epa.gov](mailto:Stirneman.scott@epa.gov)>  
Subject: FW: Records Management Briefing for OEI-IO on 9/26/16

John and Scott,

Please see Rebecca's email below regarding the Records briefing for Ann. Can you draft a presentation and send it to me by Monday 9/19? We have touched on this already. Focus on the future of records management (Capstone and reducing the burden on staff) and the future of the IT infrastructure and tools (managing records in place, Outlook archiving, SharePoint/OneDrive, 3rd party interface such as Gimmel and records management repositories, such as OpenText, Alfresco, ZL Technologies, etc.). I will work on the alternatives analysis response, which is attached for your information. We should also consider Ex. 5 Deliberative Process (DP)

**Ex. 5 Deliberative Process (DP)**

Robert

---

Robert Johnston, Enterprise Records Management Division Director | EPA Office of  
Environmental Information  
1200 Pennsylvania Ave NW, MC 2822T (Mail) | 1201 Constitution Ave NW, Room 6143H  
(Courier) | Washington, DC 20460  
(P) 202-566-1637 | (C) Ex. 6 Personal Privacy (PP)

---

From: Moser, Rebecca  
Sent: Tuesday, September 13, 2016 7:09 PM  
To: Johnston, Robert  
Cc: Shenefiel, Pam; Jones, Monica  
Subject: Records Management Briefing for OEI-IO on 9/26/16

Robert,

There's another records management briefing for the OEI-IO on Monday morning, Sept. 26, which needs to include our plans in response to the Alternatives Analysis, as well as a broader discussion of the IT infrastructure/tools & future plans for records management. Please get a draft to me by mid-day, Tues., Sept. 20, so we'll have adequate time to review/discuss & make any revisions. We should plan to submit it to the OEI-IO no later than Thurs. morning, Sept. 22.

Note that Carolyn has prepared most of the briefing for the Alternatives Analysis (attached). . . but she still needs from you slides for records outlining our plans (similar to slides 13-15 for eDisco).

We'll need to think about how we want to tee up the rest of the discussion on IT infrastructure/tools & future plans for records management.

Rebecca

Rebecca Moser, Director  
Office of Enterprise Information Programs (OEIP) Office of Environmental Information (OEI)  
U.S. Environmental Protection Agency  
Phone: 202-566-0252  
Fax: 202-566-1624

Message

---

**From:** Lasher, Diane [Lasher.Diane@epa.gov]  
**Sent:** 12/16/2016 2:33:26 PM  
**To:** Ellis, John [Ellis.john@epa.gov]; Moser, Rebecca [Moser.Rebecca@EPA.GOV]  
**CC:** York, Sandy [York.Sandy@epa.gov]; Johnston, Robert [Johnston.Robert@epa.gov]  
**Subject:** RE: Question about email accounts on security classified networks or systems

John,

Good point, I did not think of that. I will have someone from my team call the JWICS help desk and see if that is something they are doing.

**Ex. 6 Personal Privacy (PP)**

Diane

Diane K. Lasher  
NSI Program Team Leader/SSO  
US Environmental Protection Agency  
Security Management Division  
Personnel Security Branch  
Office: 202-564-0059  
Cell: **Ex. 6 Personal Privacy (PP)**  
Fax: 202-565-2028

---

**From:** Ellis, John  
**Sent:** Friday, December 16, 2016 9:31 AM  
**To:** Lasher, Diane <Lasher.Diane@epa.gov>; Moser, Rebecca <Moser.Rebecca@EPA.GOV>  
**Cc:** York, Sandy <York.Sandy@epa.gov>; Johnston, Robert <Johnston.Robert@epa.gov>  
**Subject:** RE: Question about email accounts on security classified networks or systems

H Diane,

Another option might be that the other agency that owns and manages JWICS would disposition appropriate records to NARA?

**Ex. 6 PP / Ex. 7(C)**

**Ex. 6 PP / Ex. 7(C)**

John B. Ellis, CRM  
EPA Records Officer  
Office of Environmental Information (OEI)  
Office of Enterprise Information Programs (OEIP)  
Enterprise Records Management Division (ERMD)  
1301 Constitution Ave., NW, Washington, DC  
William Jefferson Clinton West Building  
Mail Code 2822T, Washington, DC 20460  
Phone: 202-566-1643, Mobile: **Ex. 6 Personal Privacy (PP)**

---

**From:** Lasher, Diane  
**Sent:** Friday, December 16, 2016 9:13 AM  
**To:** Moser, Rebecca <Moser.Rebecca@EPA.GOV>



**Cc:** York, Sandy <York.Sandy@epa.gov>; Johnston, Robert <Johnston.Robert@epa.gov>; Ellis, John <Ellis.john@epa.gov>

**Subject:** RE: Question about email accounts on security classified networks or systems

It's on JWICS which his owned by another agency.

**Ex. 6 PP / Ex. 7(C)**

My JWICS email address is [d.lasher@epa.id.ic.gov](mailto:d.lasher@epa.id.ic.gov)

Diane

Diane K. Lasher  
NSI Program Team Leader/SSO  
US Environmental Protection Agency  
Security Management Division  
Personnel Security Branch  
Office: 202-564-0059  
Cell: **Ex. 6 Personal Privacy (PP)**  
Fax: 202-565-2028

---

**From:** Moser, Rebecca

**Sent:** Wednesday, December 14, 2016 4:42 PM

**To:** Lasher, Diane <[Lasher.Diane@epa.gov](mailto:Lasher.Diane@epa.gov)>

**Cc:** York, Sandy <[York.Sandy@epa.gov](mailto:York.Sandy@epa.gov)>; Johnston, Robert <[Johnston.Robert@epa.gov](mailto:Johnston.Robert@epa.gov)>; Ellis, John <[Ellis.john@epa.gov](mailto:Ellis.john@epa.gov)>

**Subject:** FW: Question about email accounts on security classified networks or systems

Hi Diane,

Thanks so much for your quick response to our questions earlier today about whether any of EPA's senior leaders have classified accounts.

For the one senior official you identified, **Ex. 6 PP / Ex. 7(C)**

**Ex. 6 PP / Ex. 7(C)**

**Ex. 6 PP / Ex. 7(C)**

We'd welcome any other information/thoughts you have on this. Thanks again.

Rebecca

Rebecca Moser, Director  
Office of Enterprise Information Programs (OEIP)  
Office of Environmental Information (OEI)  
U.S. Environmental Protection Agency  
Phone: 202-566-0252  
Fax: 202-566-1624

---

**From:** York, Sandy  
**Sent:** Wednesday, December 14, 2016 4:23 PM  
**To:** Moser, Rebecca <[Moser.Rebecca@EPA.GOV](mailto:Moser.Rebecca@EPA.GOV)>  
**Cc:** Ellis, John <[Ellis.john@epa.gov](mailto:Ellis.john@epa.gov)>  
**Subject:** Fw: Question about email accounts on security classified networks or systems

Rebecca,

Here is the exchange with Diane Lasher as you requested.

---

Sandy York, CRM  
ASRC Primus  
Contract support for EPA's National Records Management Program (NRMP)  
505-286-6346  
[york.sandy@epa.gov](mailto:york.sandy@epa.gov)  
Records intranet site: Ex. 6 Personal Privacy (PP) intranet link

Save it, find it, share it!

---

**From:** Lasher, Diane  
**Sent:** Wednesday, December 14, 2016 11:17 AM  
**To:** York, Sandy; NSI ProgramTeam  
**Cc:** Ellis, John; Rutsala, Katherine  
**Subject:** RE: Question about email accounts on security classified networks or systems

**Ex. 6 PP / Ex. 7(C)**

Diane K. Lasher  
NSI Program Team Leader/SSO  
US Environmental Protection Agency  
Security Management Division  
Personnel Security Branch  
Office: 202-564-0059  
Cell: Ex. 6 Personal Privacy (PP)  
Fax: 202-565-2028

---

**From:** York, Sandy  
**Sent:** Wednesday, December 14, 2016 10:42 AM  
**To:** Lasher, Diane <[Lasher.Diane@epa.gov](mailto:Lasher.Diane@epa.gov)>; NSI ProgramTeam <[NSI\\_ProgramTeam@epa.gov](mailto:NSI_ProgramTeam@epa.gov)>  
**Cc:** Ellis, John <[Ellis.john@epa.gov](mailto:Ellis.john@epa.gov)>; Rutsala, Katherine <[Rutsala.Katherine@epa.gov](mailto:Rutsala.Katherine@epa.gov)>  
**Subject:** Re: Question about email accounts on security classified networks or systems

Diane,

I have attached a copy of the form we are completing for submission to the National Archives and Records Administration (NARA). Page 2 includes a section for Capstone Officials and Classified Accounts.

EPA will be submitting a list of potential "Capstone" officials whose email will be transferred to the National Archives as permanent records. All Federal agencies are required to comply with a NARA and OMB directive on records management which includes managing email and the "Capstone" approach is part of how EPA will meet the requirements of that directive. I can provide more specific information on the directive, if needed.

Thanks,  
Sandy

---

Sandy York, CRM  
ASRC Primus  
Contract support for EPA's National Records Management Program (NRMP)  
505-286-6346  
[york.sandy@epa.gov](mailto:york.sandy@epa.gov)  
Records intranet site: Ex. 6 Personal Privacy (PP) intranet link

Save it, find it, share it!

---

**From:** Lasher, Diane  
**Sent:** Wednesday, December 14, 2016 8:36:47 AM  
**To:** York, Sandy; NSI ProgramTeam  
**Cc:** Ellis, John; Rutsala, Katherine  
**Subject:** RE: Question about email accounts on security classified networks or systems

Sandy,

I need to get a better understanding why you are asking for this information. May I have a copy of the incoming request from NARA?

Diane

Diane K. Lasher  
NSI Program Team Leader/SSO  
US Environmental Protection Agency  
Security Management Division  
Personnel Security Branch  
Office: 202-564-0059  
Cell: Ex. 6 Personal Privacy (PP)  
Fax: 202-565-2028

---

**From:** York, Sandy  
**Sent:** Wednesday, December 14, 2016 10:28 AM  
**To:** NSI ProgramTeam <[NSI\\_ProgramTeam@epa.gov](mailto:NSI_ProgramTeam@epa.gov)>  
**Cc:** Ellis, John <[Ellis.john@epa.gov](mailto:Ellis.john@epa.gov)>; Rutsala, Katherine <[Rutsala.Katherine@epa.gov](mailto:Rutsala.Katherine@epa.gov)>; Lasher, Diane <[Lasher.Diane@epa.gov](mailto:Lasher.Diane@epa.gov)>  
**Subject:** Re: Question about email accounts on security classified networks or systems

Brian,

We need to identify which senior officials have them.

Thanks,  
Sandy

---

Sandy York, CRM  
ASRC Primus  
Contract support for EPA's National Records Management Program (NRMP)  
505-286-6346  
[york.sandy@epa.gov](mailto:york.sandy@epa.gov)  
Records intranet site: Ex. 6 Personal Privacy (PP) Intranet link

Save it, find it, share it!

---

**From:** Applestein, Brian on behalf of NSI ProgramTeam  
**Sent:** Wednesday, December 14, 2016 8:26:17 AM  
**To:** York, Sandy; NSI ProgramTeam  
**Cc:** Ellis, John; Rutsala, Katherine; Lasher, Diane  
**Subject:** RE: Question about email accounts on security classified networks or systems

Sandy,

Do you need to know if any EPA senior officials have classified email accounts or which EPA senior officials have classified email accounts?

/r

Brian Applestein  
Senior Security Analyst/NSI Program Task Lead  
ManTech – Enterprise Support & Technology Solutions  
Contract Officer Representative: Tina Johnson  
Security Management Division

Ph: 202-564-4640  
F: 202-565-2028

---

**From:** York, Sandy  
**Sent:** Wednesday, December 14, 2016 9:40 AM  
**To:** NSI ProgramTeam <[NSI\\_ProgramTeam@epa.gov](mailto:NSI_ProgramTeam@epa.gov)>  
**Cc:** Ellis, John <[Ellis.john@epa.gov](mailto:Ellis.john@epa.gov)>; Rutsala, Katherine <[Rutsala.Katherine@epa.gov](mailto:Rutsala.Katherine@epa.gov)>  
**Subject:** Question about email accounts on security classified networks or systems

Hello,

I am a contractor supporting John Ellis, EPA's Records Officer. We need to find out if there are any EPA senior officials who have email accounts on security classified networks or systems for a document we are submitting to the National Archives and Records Administration. Is that something you can help us with?

Thanks,  
Sandy

---

Sandy York, CRM

ASRC Primus

Contract support for EPA's National Records Management Program (NRMP)

505-286-6346

[york.sandy@epa.gov](mailto:york.sandy@epa.gov)

Records intranet site: [Ex. 6 Personal Privacy \(PP\) intranet link](#)

Save it, find it, share it!

Message

---

**From:** Rutsala, Katherine [Rutsala.Katherine@epa.gov]  
**Sent:** 5/10/2016 9:12:07 PM  
**To:** Ellis, John [Ellis.john@epa.gov]  
**CC:** York, Sandy [York.Sandy@epa.gov]  
**Subject:** NARA email criteria table with EPA status 20160510 final  
**Attachments:** NARA email criteria table with EPA status 20160510 final.docx

Summary of NARA Criteria for Managing Email Records in Compliance with the Managing Government Records Directive (M-12-18), April 6, 2016, with EPA Status

[ [HYPERLINK "http://www.archives.gov/records-mgmt/email-management/2016-email-mgmt-success-criteria.pdf"](http://www.archives.gov/records-mgmt/email-management/2016-email-mgmt-success-criteria.pdf) ]

From NARA Criteria

NARA Defined Groups	What Success Looks Like
<p>Policies: Agency-wide policies and training must inform account holders of their responsibilities for managing email records. Policies should be developed with all relevant stakeholders and should address the requirements of the [ <a href="https://www.archives.gov/about/laws/p-l-113-187.pdf">HYPERLINK "https://www.archives.gov/about/laws/p-l-113-187.pdf"</a> \h ] [ <a href="https://www.archives.gov/about/laws/p-l-113-187.pdf">HYPERLINK "https://www.archives.gov/about/laws/p-l-113-187.pdf"</a> \h ] [ <a href="https://www.gpo.gov/fdsys/granule/CFR-2011-title36-vol3/CFR-2011-title36-vol3-chapXII-subchapB">HYPERLINK "https://www.gpo.gov/fdsys/granule/CFR-2011-title36-vol3/CFR-2011-title36-vol3-chapXII-subchapB"</a> \h ] [ <a href="https://www.gpo.gov/fdsys/granule/CFR-2011-title36-vol3/CFR-2011-title36-vol3-chapXII-subchapB">HYPERLINK "https://www.gpo.gov/fdsys/granule/CFR-2011-title36-vol3/CFR-2011-title36-vol3-chapXII-subchapB"</a> \h ] and [ <a href="http://www.archives.gov/records-mgmt/">HYPERLINK "http://www.archives.gov/records-mgmt/"</a> \h ] [ <a href="http://www.archives.gov/records-mgmt/">HYPERLINK "http://www.archives.gov/records-mgmt/"</a> \h ]</p>	<p>Your agency's policies and training programs explain staff responsibilities for managing email records. The policies and training should instruct staff how to distinguish between permanent, temporary, transitory, and non-record email messages and how to appropriately handle email messages containing classified national security information and those created on nonofficial or personal electronic messaging accounts.</p>
<p><b>Systems:</b> Agencies must have systems in place that can produce, manage, and preserve email records in an acceptable electronic format until disposition can be executed. Additionally, systems must support the implementation of agency policies and provide access to email records throughout their lifecycle.</p>	<p>Your agency's systems and business processes support the management of email records in accordance with all applicable requirements including the manual or automatic execution of their disposition whether using a Capstone-based or content-based record schedule.</p>
<p><b>Access:</b> Email records must remain usable and retrievable throughout their lifecycle. Access supports an agency's ability to carry out its business functions. Access should address internal agency needs and accommodate responses to requests for information.</p>	<p>Your agency's email records are maintained in a system that preserves their content, context and structure, protects against their unauthorized loss or destruction, and ensures that they remain discoverable, retrievable, and useable for the period specified in their retention schedule.</p>

<b>Disposition:</b> The agency must have a NARA-approved schedule in place to be able to carry out the disposition of permanent and temporary email records – using either agency-specific schedules or [ HYPERLINK "http://www.archives.gov/records-mgmt/grs/grs-trs25.pdf" \h ][ HYPERLINK "http://www.archives.gov/records-mgmt/grs/grs-trs25.pdf" \h ][ HYPERLINK "http://www.archives.gov/records-mgmt/grs/grs-trs25.pdf" \h ][ HYPERLINK "http://www.archives.gov/records-mgmt/grs/grs-trs25.pdf" \h ][ HYPERLINK "http://www.archives.gov/records-mgmt/grs/grs-trs25.pdf" \h ]	Your agency has identified appropriate retention periods for email records and implemented systems and policies to support the disposition as specified in an approved records schedule.
---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

From NARA Criteria - Details from Appendix B: Spreadsheet of Requirements for Email Management

X = Complete

? = Unknown

N/A = not applicable

Criteria	Lifecycle Category	NARA Requirement	EPA Status	Next Steps
Policies	Appraisal and Scheduling	Ensure Federal email records are covered by an approved records schedule.	X	
		Work with appraisal archivist to determine if agency records are appropriately scheduled.	X	
		Identify and apply appropriate General Records Schedules (Capstone, transitory, administrative, grant files, etc.) to email records. If more than one schedule applies, ensure copies are made with the required metadata and managed in appropriate systems.	Partially complete, EPA is still discussing the use of Capstone	
		If using Capstone GRS 6.1, complete and submit NARA Form 1005. The form must be	? Depends on if Capstone is implemented	

[ PAGE \\* MERGEFORMAT ]



Criteria	Lifecycle Category	NARA Requirement	EPA Status	Next Steps
		approved by NARA before the GRS can be implemented.		
		Conduct a functional analysis of Federal records held in email systems.	X	
		Issue disposition authorities through internal directives within six months of approval of the records schedule or GRS to ensure proper distribution and application of the schedule. The directive must cite the legal authority (GRS or SF 115 and item numbers) for each schedule item covering records.	X	
Policies	Management and Maintenance	Set policies that require any record created or received in a non-official account to be copied or forwarded to an official account within 20 days.	X	
		Evaluate and monitor your records management program for effectiveness and compliance with applicable laws and regulations related to email management.	Partial, statistics are tracked	
		Ensure policies describe the appropriate methods to identify and destroy temporary records that are eligible for disposal, and the application of records holds or legal freezes when required.	Partial, in RM Policy, needs updating	
		Ensure policies explain how email records are associated with projects or case files as appropriate.	In RM Policy and FAQ, needs updating	
*		Develop and implement policies that support the classifying, safeguarding, and declassifying of national security information.	N/A – John to follow up with Diane Lasher	
		Develop and implement policies and procedures to identify, protect, and manage	X	

Criteria	Lifecycle Category	NARA Requirement	EPA Status	Next Steps
		emails which are essential records (formerly known as vital records).		
Policies	Transfer and Execute Disposition	Ensure policies describe methods to identify and effect the transfer of permanent records to the National Archives of the United States.	X	
		Develop and implement policies describing the culling/removal of non-record email.	X	
		Develop procedures to enable the migration of email records, including attachments and their associated metadata, to new formats or storage media to avoid loss due to media decay or technology obsolescence.	In RM Policy; may need to coordinate with OTOP	
Systems	Appraisal and Scheduling	a) Associate email records with applicable record schedules. b) Utilizing agency business rules, systems must assign unique identifiers to records to facilitate management in an electronic system and c) include the ability to remove the record and move it to another system	a) X b) ECMS advanced does; EZ Email does not c) ? need input from ECMS	
		Provide records management staff access to support the appraisal and scheduling of records.	X	
Systems	Management and Maintenance	Ensure the content, context, and structure of the record accurately reflects the creator, their organization, and relationship to associated metadata.	X	
		Capture information with associated attributes in an electronic system.	X	
		Ensure email messages conform to Request for Comments (RFC) 5322.	X	

Criteria	Lifecycle Category	NARA Requirement	EPA Status	Next Steps
		([ HYPERLINK "http://www.rfc-base.org/rfc-5322.html" ] RFC 5322 provides the core standard that specifies the structure and syntax that must be used for email messages to be sent between computer systems. It also serves as the basis for the standards that define how email messages are stored and packaged such as PST, MSG, EML, and MBOX.)		
		Maintain email records in acceptable formats.	X	
		Establish and incorporate records management controls in information systems.	Currently in some systems	
		Support the assignment of email records with projects or case files as appropriate.	ECMS advanced does; EZ Email unknown	
		Prevent the unauthorized access, modification, or deletion of declared records, and ensure that appropriate audit trails are in place to track use of the records.	X	
		Ensure records are authentic and their integrity is protected against unauthorized alteration, deletion, or use.	X	
*		Support the classifying, safeguarding, and declassifying of national security information.	N/A – John to follow up with Diane Lasher	
Systems	Transfer and Execute Disposition	Associate records with the appropriate disposition authorities.	ECMS advanced does; EZ Email does not	
		Support the assignment of email records with projects or case files as appropriate.	ECMS advanced does; EZ Email does not	
		Support the export of email records in acceptable file formats.	Needs to be tested	
		Support the export of metadata elements included in NARA Bulletin 2015-04.	ECMS advanced does; EZ Email does not [ HYPERLINK	

Criteria	Lifecycle Category	NARA Requirement	EPA Status	Next Steps
			"https://www.archives.gov/records-mgmt/bulletins/2015/2015-04.html" ]	
Access	Appraisal and Scheduling	Email records must be usable and retrievable by appropriate staff to schedule and appraise the records.	X	
		Emails that are Federal records must be kept for specific periods of time as mandated in records disposition schedules.	ECMS advanced does but that functionality was turned off per OGC ; EZ Email does not	
Access	Management and Maintenance	Federal records managed in live email systems must be retrievable to other staff as needed.	X	
		Manage email records of current and former employees in a manner that supports searching in response to information requests, including FOIA and agency business needs.	X	
		Ensure the ability to search all or selected systems that manage or maintain email records (temporary and permanent) across the enterprise for content and/or attributes, in order to determine the existence and location of matching records.	Does eDiscovery tool(s) have this capability?	
		Ensure that all records are retrievable and usable for as long as needed to conduct agency business and to meet NARA-approved disposition authorities.	X	
		Ensure that access to email records minimizes the risk of unauthorized additions, deletions, or alterations.	X	
		If a third party is contracted for storage or management, include provisions for export of	If cloud is used, check access controls with OTOP	

Criteria	Lifecycle Category	NARA Requirement	EPA Status	Next Steps
		messages to a new system and permanent records to the National Archives.		
Access	Transfer and Execute Disposition	Email records must be transferred in usable and retrievable formats.	X	
		Email records should include delimiters that indicate the beginning and end of each message and the beginning and end of each attachment, if any. Each attachment must be differentiated from the body of the message, and uniquely identified.	X	
		Agencies that use an email system that identifies users by codes or nicknames, or identifies addressees only by the name of a distribution list should include information with the transfer-level documentation to ensure identification of the sender and addressee(s)	? We are not sure whether ECMS does this?	
		Email records must include labels to identify each part of the message (Date, To [all recipients, including cc: and bcc: copies], From, Subject, Body, and Attachment) including transmission and receipt information (Time Sent, Message Size, File Name, and similar information, if available).	? Need to review and possibly update policy	
		Ensure transfers of email records are described by the metadata elements included in NARA Bulletin 2015-04.	We believe ECMS advanced is capable of performing this requirement but it hasn't been tested.; EZ Email does not	
Disposition	Appraisal and Scheduling	Identify and execute the transfer of permanent records to the National Archives of	Needs to be tested	

Criteria	Lifecycle Category	NARA Requirement	EPA Status	Next Steps
		the United States based on NARA-approved records schedules.		
		Identify and destroy temporary records that are eligible for disposal.	Needs to be tested	
		Ensure policies account for essential records held in email accounts.	?	
Disposition	Management and Maintenance	Systems that manage email records must support the disposition of those records, according to the applicable NARA-approved records schedule.	ECMS advanced does; EZ Email does not	
Disposition	Transfer and Execute Disposition	Transfer email records or accounts to NARA in accordance with acceptable file formats.	Needs to be tested	
		Transfer all permanent digital or electronic records in digital or electronic form to the greatest extent possible.	Needs to be tested	
		Ensure transfers of email records consist of an identifiable, organized body of records (not necessarily a traditional series).	Needs to be tested	
*		Ensure the appropriate transfer and disposition of national security information.	N/A – John to follow up with Diane Lasher	
		Dispose of email records according to their NARA-approved records schedule.	Needs to be tested	
		Dispose of emails that do not meet the definition of a record (non-records).	Needs to be tested	
		Apply records holds or legal freezes when required.	Needs to be tested	

Message

---

**From:** Johnston, Robert [Johnston.Robert@epa.gov]  
**Sent:** 3/13/2017 10:15:41 AM  
**To:** Ellis, John [Ellis.john@epa.gov]  
**CC:** Moser, Rebecca [Moser.Rebecca@EPA.GOV]  
**Subject:** RE: RMSA comments

Excellent work, John. As always there are many questions, edits and changes to these reports. Thanks for keeping it all straight and moving them through the process.

Thanks,  
Robert

"Nobody cares how much you know, until they know you care about them!" Zig Ziglar

---

Robert Johnston, Enterprise Records Management Division Director | EPA Office of Environmental Information  
1200 Pennsylvania Ave NW, MC 2822T (Mail) | 1301 Constitution Ave NW, Room 6143H (Courier) | Washington, DC 20460  
(P) 202-566-1637 | [Ex. 5 Personal Privacy \(PP\)](#)

---

**From:** Ellis, John  
**Sent:** Saturday, March 11, 2017 10:23 AM  
**To:** Miller, Kevin <Miller.Kevin@epa.gov>; Kelly, Lynn <Kelly.Lynn@epa.gov>  
**Cc:** Moser, Rebecca <Moser.Rebecca@EPA.GOV>; Johnston, Robert <Johnston.Robert@epa.gov>  
**Subject:** RMSA comments

Hello Kevin and Lynn,

Thanks again for your comments on EPA's 2016 RMSA and the Federal Email Management Report. Although I cc'ed you on our submission to the OEI IO for review and approval, I wanted to recap the changes below:

# Ex. 5 AC/DP

# **Ex. 5 AC/DP**



## **Ex. 5 AC/DP**

Should you have any further questions, please let me know.

John B. Ellis, CRM  
EPA Records Officer  
Office of Environmental Information (OEI)  
Office of Enterprise Information Programs (OEIP)  
Enterprise Records Management Division (ERMD)  
1301 Constitution Ave., NW, Washington, DC  
William Jefferson Clinton West Building  
Mail Code 2822T, Washington, DC 20460  
Phone: 202-566-1643, Mobile

Ex. 6 Personal Privacy (PP)

Message

---

**From:** Stirneman, Scott [Stirneman.scott@epa.gov]  
**Sent:** 3/15/2017 12:35:18 PM  
**To:** Johnston, Robert [Johnston.Robert@epa.gov]; Ellis, John [Ellis.john@epa.gov]; Nguyen, Minh [nguyen.minh@epa.gov]  
**Subject:** RE: Email Retention Policy Discussion Draft  
**Attachments:** Email Retention Policy (002) jbe\_RJ\_ss.docx

Comments attached.

---

Scott Stirneman, PMP  
U.S. Environmental Protection Agency  
202-566-1647  
stirneman.scott@epa.gov

---

**From:** Johnston, Robert  
**Sent:** Wednesday, March 15, 2017 8:17 AM  
**To:** Ellis, John <Ellis.john@epa.gov>; Stirneman, Scott <Stirneman.scott@epa.gov>; Nguyen, Minh <nguyen.minh@epa.gov>  
**Subject:** RE: Email Retention Policy Discussion Draft

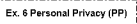
Scott/Minh,

Please add your comments to the attached document and send it back to me this morning.

Thanks,  
Robert

"Nobody cares how much you know, until they know you care about them!" Zig Ziglar

---

Robert Johnston, Enterprise Records Management Division Director | EPA Office of Environmental Information  
1200 Pennsylvania Ave NW, MC 2822T (Mail) | 1301 Constitution Ave NW, Room 6143H (Courier) | Washington, DC 20460  
(P) 202-566-1637 | (C) 

---

**From:** Ellis, John  
**Sent:** Tuesday, March 14, 2017 6:04 PM  
**To:** Johnston, Robert <Johnston.Robert@epa.gov>; Stirneman, Scott <Stirneman.scott@epa.gov>; Nguyen, Minh <nguyen.minh@epa.gov>  
**Subject:** RE: Email Retention Policy Discussion Draft

Attached are my comments along with a review by Kathe and Sandy.

---

**From:** Johnston, Robert  
**Sent:** Tuesday, March 14, 2017 2:27 PM  
**To:** Ellis, John <Ellis.john@epa.gov>; Stirneman, Scott <Stirneman.scott@epa.gov>; Nguyen, Minh <nguyen.minh@epa.gov>  
**Subject:** FW: Email Retention Policy Discussion Draft

Please see the attached document and provide me with your feedback/comments. Let me know if you need any clarification.

Thanks,

Robert

"Nobody cares how much you know, until they know you care about them!" Zig Ziglar

---

Robert Johnston, Enterprise Records Management Division Director | EPA Office of Environmental Information  
1200 Pennsylvania Ave NW, MC 2822T (Mail) | 1301 Constitution Ave NW, Room 6143H (Courier) | Washington, DC 20460  
(P) 202-566-1637 | (C) Ex. 6 Personal Privacy (PP)

---

**From:** Hearn, Liza

**Sent:** Tuesday, March 14, 2017 8:46 AM

**To:** Moser, Rebecca <[Moser.Rebecca@EPA.GOV](mailto:Moser.Rebecca@EPA.GOV)>; Johnston, Robert <[Johnston.Robert@epa.gov](mailto:Johnston.Robert@epa.gov)>; Key, Rena <[Key.Rena@epa.gov](mailto:Key.Rena@epa.gov)>; Kelly, Lynn <[Kelly.Lynn@epa.gov](mailto:Kelly.Lynn@epa.gov)>; Hammitt, Jennifer <[Hammitt.Jennifer@epa.gov](mailto:Hammitt.Jennifer@epa.gov)>; Blake, Wendy <[Blake.Wendy@epa.gov](mailto:Blake.Wendy@epa.gov)>; Layne, Kenda <[Layne.Kenda@epa.gov](mailto:Layne.Kenda@epa.gov)>; Robinson, Milton <[Robinson.Milton@epa.gov](mailto:Robinson.Milton@epa.gov)>; Miller, Kevin <[Miller.Kevin@epa.gov](mailto:Miller.Kevin@epa.gov)>; Epley, Brian <[epley.brian@epa.gov](mailto:epley.brian@epa.gov)>; Watkins, Harrell <[Watkins.Harrell@epa.gov](mailto:Watkins.Harrell@epa.gov)>; Schwarz, Matthew <[Schwarz.Matthew@epa.gov](mailto:Schwarz.Matthew@epa.gov)>; Hammitt, Jennifer <[Hammitt.Jennifer@epa.gov](mailto:Hammitt.Jennifer@epa.gov)>; Badalamente, Mark <[Badalamente.Mark@epa.gov](mailto:Badalamente.Mark@epa.gov)>

**Subject:** Email Retention Policy Discussion Draft

Per our meeting yesterday, attached is the discussion draft of the Email Retention Policy. Please review and provide your concerns or input into the draft policy. As you may note, I already made one change per the discussion yesterday on the retention schedules for the deleted, junk and clutter items. I have our technical folks researching some other option with the goal of ensuring that those items the user wants deleted in window of time we allow they to do so are indeed removed from the system prior to the preservation policy being enacted.

You can respond to this message with comments or question and we can discuss at our next bi-weekly.

Liza

---

Liza Hearn  
Director  
Endpoint & Collaboration Solutions Division (ECSD)  
Office of IT Operations  
Office of Environmental Information  
U.S. Environmental Protection Agency  
Phone: 202-566-0759  
Room: Ex. 6 Personal Privacy (PP)

Message

---

**From:** Ellis, John [Ellis.john@epa.gov]  
**Sent:** 11/22/2016 7:47:04 PM  
**To:** Rutsala, Katherine [Rutsala.Katherine@epa.gov]  
**Subject:** Fwd: AC 12.2016: MEMORANDUM TO FEDERAL AGENCY CONTACTS: Practical Tips for Submitting your Capstone Verification Form, NA-1005

Can you follow up?

John B. Ellis, CRM  
EPA Records Officer  
P-202-566-1643  
M-Ex. 6 Personal Privacy (PP)

Begin forwarded message:

**From:** "Chambers-Guzman, Porscha" <Chambers-Guzman.Porscha@epa.gov>  
**Date:** November 22, 2016 at 1:59:34 PM EST  
**To:** "Ellis, John" <Ellis.john@epa.gov>  
**Subject:** FW: AC 12.2016: MEMORANDUM TO FEDERAL AGENCY CONTACTS: Practical Tips for Submitting your Capstone Verification Form, NA-1005

Hi John,

Kenda raised a questions below about whether the Agency is still moving in that direction and perhaps the status. Would you have any additional information concerning that? Thanks for your help.

Kind Regards,  
Porscha Chambers-Guzman  
U.S. Environmental Protection Agency  
OECA, Office of Administration and Policy  
Information Technology Division  
Rm: 3230D WJC-South Building, Mail Stop: 2201A  
Phone: 202-564-2464 Fax: 202-501-0017  
Email: [chambers-guzman.porscha@epa.gov](mailto:chambers-guzman.porscha@epa.gov)

"I've learned that people will forget what you said, people will forget what you did, but people will never forget how you made them feel.", Maya Angelou

---

**From:** Layne, Kenda  
**Sent:** Tuesday, November 22, 2016 12:56 PM  
**To:** Chambers-Guzman, Porscha <Chambers-Guzman.Porscha@epa.gov>  
**Subject:** FW: AC 12.2016: MEMORANDUM TO FEDERAL AGENCY CONTACTS: Practical Tips for Submitting your Capstone Verification Form, NA-1005

Hi Porscha,  
Thanks for sending this out to the contacts. Though, it may cause some confusion. John's office must submit the form to NARA. Only OEI can make the determination as to whether the Agency will adopt the Capstone approach. You may want to reach out to John and find out whether the Agency is still

moving in that direction and perhaps the status. If you have any questions, please let me know. Thanks, again.

Kenda Layne,  
Deputy Director, Office of Administration and Policy and  
Acting Director, Information Technology Division (ITD)

Advancing OECA's mission by exploring and implementing new information management technologies

U.S. EPA  
Office of Enforcement and Compliance Assurance  
1200 Pennsylvania Ave., N.W., Ex. 6 Personal Privacy (PP) MC:2201A  
Washington, DC 20004  
Phone: 202-564-6063  
Fax: 202-501-0017



---

**From:** OECA Records Management Program  
**Sent:** Tuesday, November 22, 2016 12:40 PM  
**Subject:** AC 12.2016: MEMORANDUM TO FEDERAL AGENCY CONTACTS: Practical Tips for Submitting your Capstone Verification Form, NA-1005

## **AC 12.2016**

November 22, 2016

**MEMORANDUM TO FEDERAL AGENCY CONTACTS:** Practical Tips for Submitting your Capstone Verification Form, NA-1005

Agencies wishing to implement GRS 6.1, Email Managed Under a Capstone Approach, must submit a verification form ([NA-1005](#)) to NARA for review. Avoid mistakes and delays by reading the *Records Express* [blog post](#) outlining the top five reasons why NA-1005s will not be registered by the GRS team for NARA action.

If you have any questions or need further clarification, please contact the General Records Schedule Team in the Office of the Chief Records Officer at [GRS\\_Team@nara.gov](mailto:GRS_Team@nara.gov).

**LAURENCE BREWER**  
Chief Records Officer  
for the U.S. Government

Message

---

**From:** Ellis, John [/O=EXCHANGELABS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=552842B807CD4378984C265F9D21CC8C-JELLIS03]  
**Sent:** 11/4/2016 3:50:34 PM  
**To:** Rutsala, Katherine [Rutsala.Katherine@epa.gov]  
**Subject:** FW: Questions for Agency Records Officers regarding their agency's use or planned use of 0365 and Capstone  
**Attachments:** ARO\_survey\_clean.docx; ARO\_survey\_markup.docx

Kathe, Do we have the names of the Records Officers , addresses and phone numbers yet?

---

**From:** Stirneman, Scott  
**Sent:** Tuesday, November 01, 2016 7:55 AM  
**To:** Ellis, John <Ellis.john@epa.gov>  
**Cc:** Boulware, Tammy <Boulware.Tammy@epa.gov>; Downs, Constance <Downs.constance@epa.gov>; Johnston, Robert <Johnston.Robert@epa.gov>; Moore, Gina <Moore.Gina@EPA.GOV>  
**Subject:** RE: Questions for Agency Records Officers regarding their agency's use or planned use of 0365 and Capstone

Hi John,

I've made extensive edits – rearranging, tweaking and adding to the questions – but have not removed anything significant. (You can see the edits in the “markup” version. Use the “clean” version.)

Let me know if you have any questions or would like to discuss.

Thanks.

---

Scott Stirneman, PMP  
U.S. Environmental Protection Agency  
202-566-1647  
[stirneman.scott@epa.gov](mailto:stirneman.scott@epa.gov)

---

**From:** Stirneman, Scott  
**Sent:** Monday, October 31, 2016 12:32 PM  
**To:** Ellis, John <Ellis.john@epa.gov>  
**Cc:** Johnston, Robert <Johnston.Robert@epa.gov>; Boulware, Tammy <Boulware.Tammy@epa.gov>; Moore, Gina <Moore.Gina@EPA.GOV>  
**Subject:** RE: Questions for Agency Records Officers regarding their agency's use or planned use of 0365 and Capstone

John,

I'll review and provide comments by COB, if possible. Does this request supersede your 10/26 3:37pm email?

---

Scott Stirneman, PMP  
U.S. Environmental Protection Agency  
202-566-1647  
[stirneman.scott@epa.gov](mailto:stirneman.scott@epa.gov)

---

**From:** York, Sandy

**Sent:** Monday, October 31, 2016 12:26 PM

**To:** Ellis, John <[Ellis.john@epa.gov](mailto:Ellis.john@epa.gov)>; Rutsala, Katherine <[Rutsala.Katherine@epa.gov](mailto:Rutsala.Katherine@epa.gov)>; Johnston, Robert <[Johnston.Robert@epa.gov](mailto:Johnston.Robert@epa.gov)>; Stirneman, Scott <[Stirneman.scott@epa.gov](mailto:Stirneman.scott@epa.gov)>; Boulware, Tammy <[Boulware.Tammy@epa.gov](mailto:Boulware.Tammy@epa.gov)>; Moore, Gina <[Moore.Gina@EPA.GOV](mailto:Moore.Gina@EPA.GOV)>

**Subject:** Re: Questions for Agency Records Officers regarding their agency's use or planned use of 0365 and Capstone

I have nothing to add.

---

Sandy York, CRM

ASRC Primus

Contract support for EPA's National Records Management Program (NRMP)

505-286-6346

[york.sandy@epa.gov](mailto:york.sandy@epa.gov)

Records intranet site:

**Ex. 6 Personal Privacy (PP)**

Save it, find it, share it!

---

**From:** Ellis, John

**Sent:** Monday, October 31, 2016 10:24:39 AM

**To:** Rutsala, Katherine; Johnston, Robert; Stirneman, Scott; Boulware, Tammy; Moore, Gina; York, Sandy

**Subject:** RE: Questions for Agency Records Officers regarding their agency's use or planned use of 0365 and Capstone

Thanks Kathe for catching that.

---

**From:** Rutsala, Katherine

**Sent:** Monday, October 31, 2016 12:21 PM

**To:** Ellis, John <[Ellis.john@epa.gov](mailto:Ellis.john@epa.gov)>; Johnston, Robert <[Johnston.Robert@epa.gov](mailto:Johnston.Robert@epa.gov)>; Stirneman, Scott <[Stirneman.scott@epa.gov](mailto:Stirneman.scott@epa.gov)>; Boulware, Tammy <[Boulware.Tammy@epa.gov](mailto:Boulware.Tammy@epa.gov)>; Moore, Gina <[Moore.Gina@EPA.GOV](mailto:Moore.Gina@EPA.GOV)>; York, Sandy <[York.Sandy@epa.gov](mailto:York.Sandy@epa.gov)>

**Subject:** RE: Questions for Agency Records Officers regarding their agency's use or planned use of 0365 and Capstone

John –

**Ex. 5 Deliberative Process (DP)**

Katherine Rutsala, Project Manager

ASRC Primus supporting the

U.S. EPA National Records Management Program

Phone: 202-566-0169

NRMP Help Desk: 202-566-1494 or

Email: [records@epa.gov](mailto:records@epa.gov)

**Ex. 6 Personal Privacy (PP)**

---

**From:** Ellis, John

**Sent:** Monday, October 31, 2016 12:13 PM

**To:** Johnston, Robert <[Johnston.Robert@epa.gov](mailto:Johnston.Robert@epa.gov)>; Stirneman, Scott <[Stirneman.scott@epa.gov](mailto:Stirneman.scott@epa.gov)>; Boulware, Tammy <[Boulware.Tammy@epa.gov](mailto:Boulware.Tammy@epa.gov)>; Moore, Gina <[Moore.Gina@EPA.GOV](mailto:Moore.Gina@EPA.GOV)>; Rutsala, Katherine <[Rutsala.Katherine@epa.gov](mailto:Rutsala.Katherine@epa.gov)>; York, Sandy <[York.Sandy@epa.gov](mailto:York.Sandy@epa.gov)>

**Subject:** Questions for Agency Records Officers regarding their agency's use or planned use of 0365 and Capstone

All, Here are a list of questions, which include Rebecca's edits and added questions for interviewing Agency Records Officers regarding their plans for using 0365 and implementing Capstone. Please review and let me know if you have any comments. We hope to send the message out tomorrow and follow-up this week with phone calls. If there are questions here that you feel are of little to no value, please let me know. Likewise, if we missed any important questions, it would be helpful to know that as well.

Thank you

John B. Ellis, CRM

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## **Ex. 5 Deliberative Process (DP)**



Message

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**From:** Ellis, John [/O=EXCHANGELABS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=552842B807CD4378984C265F9D21CC8C-JELLIS03]  
**Sent:** 9/21/2016 10:06:58 PM  
**To:** Johnston, Robert [Johnston.Robert@epa.gov]  
**CC:** Henry Wolfinger [henry.wolfinger@nara.gov]  
**Subject:** Capstone

Robert,

I just spoke with Henry today about Capstone and how long the approval process would take. As stated in NARA's guidance, deviating from the Capstone GRS (Permanent, 7 yrs. and 3 yrs.) would prolong the process. Henry also said

## Ex. 5 Deliberative Process (DP)

### Ex. 5 Deliberative Process (DP)

He thought that

### Ex. 5 Deliberative Process (DP)

## Ex. 5 Deliberative Process (DP)

Robert, Are there other questions that we had for Henry?

John B. Ellis, CRM  
EPA Records Officer  
Office of Environmental Information (OEI)  
Office of Enterprise Information Programs (OEIP)  
Enterprise Records Management Division (ERMD)  
1301 Constitution Ave., NW, Washington, DC  
William Jefferson Clinton West Building  
Mail Code 2822T, Washington, DC 20460  
Phone: 202-566-1643, Mobile: Ex. 6 Personal Privacy (PP)

Message

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**From:** Ellis, John [/O=EXCHANGELABS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=552842B807CD4378984C265F9D21CC8C-JELLIS03]  
**Sent:** 10/26/2016 7:36:34 PM  
**To:** Stirneman, Scott [Stirneman.scott@epa.gov]  
**CC:** York, Sandy [York.Sandy@epa.gov]; Rutsala, Katherine [Rutsala.Katherine@epa.gov]; Johnston, Robert [Johnston.Robert@epa.gov]  
**Subject:** Draft to agencies using or planning to O365 and/or Capstone

Scott–

Here's a draft email for surveying agencies that are using O365 and planning to implement capstone. We have not decided whether **Ex. 5 Deliberative Process (DP)** I'm open for your opinion on that. Either way we tried to come up with a list of useful questions that we would ask. Can you look over these and add any that you think would be useful? And identify any that you think are not useful?

Records Officers,

## Ex. 5 Deliberative Process (DP)

Message


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**From:** Ellis, John [Ellis.john@epa.gov]  
**Sent:** 12/6/2016 12:55:26 PM  
**To:** York, Sandy [York.Sandy@epa.gov]  
**Subject:** Fwd: Revised Capstone Briefing  
**Attachments:** Capstone at EPA - 12-5-2016v2.pptx; ATT00001.htm

Hi Sandy, I don't remember whether we said anything about folks having to cross file if they had retention requirements longer than 10 years.

Also Mark F. Said he really would like to help move our review and approval along before he leaves. He warn that it could be delayed if submitted after he leaves.

John B. Ellis, CRM  
EPA Records Officer  
P-202-566-1643

M  Ex. 6 Personal Privacy (PP)

Begin forwarded message:

**From:** "Johnston, Robert" <Johnston.Robert@epa.gov>  
**Date:** December 6, 2016 at 7:38:35 AM EST  
**To:** "Ellis, John" <Ellis.john@epa.gov>  
**Cc:** "Rutsala, Katherine" <Rutsala.Katherine@epa.gov>, "York, Sandy" <York.Sandy@epa.gov>, "Moser, Rebecca" <Moser.Rebecca@EPA.GOV>  
**Subject:** FW: Revised Capstone Briefing

Hi All –

Please take a look at Steve's latest comments and make changes, as appropriate. Please provide comment if you are in disagreement with any statements.

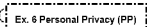
**Ex. 5 Deliberative Process (DP)**

## Ex. 5 Deliberative Process (DP)

Robert

"Nobody cares how much you know, until they know you care about them!" Zig Ziglar

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Robert Johnston, Enterprise Records Management Division Director | EPA Office of Environmental Information  
1200 Pennsylvania Ave NW, MC 2822T (Mail) | 1301 Constitution Ave NW, Room 6143H (Courier) | Washington, DC 20460  
(P) 202-566-1637 |  Ex. 6 Personal Privacy (PP)

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**From:** Fine, Steven  
**Sent:** Tuesday, December 06, 2016 7:12 AM  
**To:** Moser, Rebecca  
**Cc:** Johnston, Robert; Ellis, John; Shenefiel, Pam; Grogard, Megan; Stirneman, Scott; Kelly, Lynn  
**Subject:** RE: Revised Capstone Briefing

Rebecca,

Thank you. It's shaping up well. I have a few additional comments for your consideration. Would it be possible for you to provide another version by 11:30? I may discuss this with the DAAs at noon. Also, please share it with Mary C.

I appreciate the additional information regarding expectations for legacy email. I'll be interested to hear how the team recommends we handle that.

Steve

---

**From:** Moser, Rebecca

**Sent:** Monday, December 5, 2016 9:39 PM

**To:** Fine, Steven <[fine.steven@epa.gov](mailto:fine.steven@epa.gov)>

**Cc:** Johnston, Robert <[Johnston.Robert@epa.gov](mailto:Johnston.Robert@epa.gov)>; Ellis, John <[Ellis.john@epa.gov](mailto:Ellis.john@epa.gov)>; Shenefiel, Pam <[shenefiel.pam@epa.gov](mailto:shenefiel.pam@epa.gov)>; Grogard, Megan <[Grogard.Megan@epa.gov](mailto:Grogard.Megan@epa.gov)>; Stirneman, Scott <[Stirneman.scott@epa.gov](mailto:Stirneman.scott@epa.gov)>; Kelly, Lynn <[Kelly.Lynn@epa.gov](mailto:Kelly.Lynn@epa.gov)>

**Subject:** RE: Revised Capstone Briefing

Steve,

Thank you for the comments on the Capstone briefing. I have attached a revised version addressing your comments:

- Added a slide on our goals for email records management
- Created a table to show the current approach vs. proposed Capstone approach for email records management
- Created a table to compare how emails of Capstone officials would be managed versus emails of non-Capstone officials
- Revised the language regarding employees' management of emails (i.e., focuses on deletion of personal emails)
- Deleted the bullet on "legacy email" per your request

In follow-up to our meeting with OGC this morning, Lynn Kelly & Kevin Miller are planning to **Ex. 5 AC/DP**

**Ex. 5 AC/DP**

The team pointed out NARA's FAQ 20 for the GRS 6.1 (for Capstone), <https://www.archives.gov/files/records-mgmt/grs/grs06-1-faqs.pdf>, regarding the treatment of legacy email:

"We expect an agency using this GRS to apply the items the agency uses to all legacy (existing) email. Agencies should summarize the extent of their legacy email on form NA-1005. For example, an agency might state that no legacy email exists for the agency, as the agency used traditional records management with a print-and-file policy prior to adopting Capstone, or that the agency has legacy email back to a certain date. NARA acknowledges that legacy email may be incomplete, or that position titles may have changed over time. In cases of title changes, the agency may apply GRS items to equivalent positions."

Please let me know if you have any other thoughts on the briefing. If you're comfortable with it, would you like us to send it to Susan Jacks and/or Mary Curtis for the CIO SAC meeting on Wednesday?

Rebecca

Rebecca Moser, Director  
Office of Enterprise Information Programs (OEIP)  
Office of Environmental Information (OEI)  
U.S. Environmental Protection Agency  
Phone: 202-566-0252  
Fax: 202-566-1624

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**From:** Fine, Steven

**Sent:** Sunday, December 04, 2016 9:02 PM

**To:** Moser, Rebecca <[Moser.Rebecca@EPA.GOV](mailto:Moser.Rebecca@EPA.GOV)>

**Cc:** Johnston, Robert <[Johnston.Robert@epa.gov](mailto:Johnston.Robert@epa.gov)>; Ellis, John <[Ellis.john@epa.gov](mailto:Ellis.john@epa.gov)>; Shenefiel, Pam <[shenefiel.pam@epa.gov](mailto:shenefiel.pam@epa.gov)>; Grogard, Megan <[Grogard.Megan@epa.gov](mailto:Grogard.Megan@epa.gov)>

**Subject:** RE: Revised Capstone Briefing

Rebecca,

Thank you. I have attached some comments. We can discuss these with OGC tomorrow morning.

Steve

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**From:** Moser, Rebecca

**Sent:** Saturday, December 3, 2016 5:59 PM

**To:** Fine, Steven <[fine.steven@epa.gov](mailto:fine.steven@epa.gov)>

**Cc:** Johnston, Robert <[Johnston.Robert@epa.gov](mailto:Johnston.Robert@epa.gov)>; Ellis, John <[Ellis.john@epa.gov](mailto:Ellis.john@epa.gov)>; Shenefiel, Pam <[shenefiel.pam@epa.gov](mailto:shenefiel.pam@epa.gov)>; Grogard, Megan <[Grogard.Megan@epa.gov](mailto:Grogard.Megan@epa.gov)>

**Subject:** Revised Capstone Briefing

Steve:

Please find attached the revised briefing on Capstone. I have streamlined some of the language to make it a bit shorter and put it on our standard template. I'll bring copies to our Monday morning meeting with OGC, in case you'd like to touch on it then. We can use this briefing for both the CIO SAC on Wed. and the IRMBC/IMO meeting on Dec. 14.

Rebecca

Rebecca Moser, Director  
Office of Enterprise Information Programs (OEIP)  
Office of Environmental Information (OEI)  
U.S. Environmental Protection Agency  
Phone: 202-566-0252  
Fax: 202-566-1624

Message

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**From:** Ellis, John [/O=EXCHANGELABS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=552842B807CD4378984C265F9D21CC8C-JELLIS03]  
**Sent:** 1/20/2016 11:32:40 PM  
**To:** Boulware, Tammy [Boulware.Tammy@epa.gov]; Moore, Gina [Moore.Gina@EPA.GOV]; Rutsala, Katherine [Rutsala.Katherine@epa.gov]; York, Sandy [York.Sandy@epa.gov]  
**Subject:** Draft 2015 RMSA Attached  
**Attachments:** 2015 RMSA Questionnaire Draft.docx

John B. Ellis, CRM  
EPA Records Officer  
Office of Environmental Information (OEI), Office of Information Collection (OIC)  
Records and Content Management Branch (RCMB)  
Location: 1301 Constitution Ave., NW, Washington, DC Williams Jefferson Clinton West Building  
Mail Code 2822T, Washington, DC 20460  
Phone: 202-566-1643, Mobile Ex. 6 Personal Privacy (PP)

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